Exhibit 1

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

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| In re AMERICAN EXPRESS FINANCIAL ADVISORS SECURITIES LITIGATION | Master File No. 04 Civ. 1773 (DAB) |

# NOTICE OF PROPOSED SETTLEMENT OF CLASS ACTION, MOTION FOR ATTORNEYS' FEES AND EXPENSES, AND SETTLEMENT FAIRNESS HEARING

***Your legal rights are affected -- Please read this notice carefully.***

**To:** **All persons and entities who, at any time from and including March 10, 1999 through and including April 1, 2006, (a) paid a fee for financial advisory services as described in the American Express or Ameriprise Financial Advisory Services Brochure and the Financial Advisory Service Agreement; or (b) purchased through American Express Financial Advisors (now Ameriprise) any mutual fund in the American Express or Ameriprise Preferred Provider Program, Select Group Program, or other similar program (see list of funds in Schedule 1); or (c) purchased through American Express Financial Advisors any mutual fund sold under the American Express, AXP, or RiverSource brand (see list of funds in Schedule 2); or (d) paid a fee for financial advice, financial planning, or other financial advisory services rendered in connection with the American Express or Ameriprise Strategic Portfolio Service program, Wealth Management Service program, or Separately Managed Account program:**

**If you meet the above class definition,**
**you could get a payment from a class action settlement.**

*A federal court authorized this notice. This is not a solicitation from a lawyer.*

- The settlement resolves class action litigation arising out of certain business practices of American Express Company, American Express Financial Corporation (now known as RiverSource Investments LLC), American Express Financial Advisors Inc. (now known as Ameriprise Financial Services, Inc.), and James M. Cracchiolo ("Defendants"). Plaintiffs are individuals who purchased financial plans or other financial advisory services, and/or invested money with Defendants.
- In their lawsuits, the investors complain that they were sold financial plans and/or advice that, instead of being tailored to their individual circumstances, contained standardized recommendations designed to steer them into investing in Defendants' proprietary mutual funds and other proprietary investment products and certain non-proprietary "Preferred" or "Select" mutual funds.
- Plaintiffs allege that Defendants steered clients into the so-called Preferred or Select Funds (collectively, the "Preferred Funds") to obtain the fees Defendants would receive (a) from directed brokerage, in which the investment managers of the Preferred Funds directed securities trading business to Defendants, and (b) from revenue sharing, whereby American Express received a portion of the fees that the investment managers of the Preferred Funds charged the Preferred Funds. Plaintiffs claim that the conflicts of interest inherent in Defendants' financial plans and/or financial advisory services, and the compensation arrangements between Defendants and the Preferred Funds, were inadequately disclosed to investors. Defendants also steered investors into their own proprietary funds – called AXP Funds – to obtain revenue sharing fees paid by the AXP Funds' investment advisor.

| YOUR LEGAL RIGHTS AND OPTIONS IN THIS SETTLEMENT: | |
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| **SUBMIT A CLAIM FORM** | The only way to get a payment. |
| **EXCLUDE YOURSELF** | Get no payment. This is the only option that allows you to ever be part of any other lawsuit concerning the facts giving rise to the legal claims in this case. |
| **COMMENT ON THE SETTLEMENT** | Write to the Court about why you support or oppose the settlement. |
| **GO TO A HEARING** | Ask to speak in Court about the fairness of the settlement. |
| **DO NOTHING** | Get no payment. Release claims. |

- To settle the litigation, Defendants will pay $100 million into a settlement fund for the benefit of class members. Defendants will also pay all of the reasonable costs associated with notifying class members of the settlement and all reasonable costs associated with administering the settlement.
- The settlement also requires Defendants to take certain remedial measures relating to the business practices that gave rise to this litigation. These measures are set out in full as Schedule 3 to this Notice.
- These rights and options—**and the deadlines to exercise them**—are explained in this notice.
- The Court in charge of this case still has to decide whether to approve the settlement. Payments will be made if the Court approves the settlement and after any appeals are resolved.

## SUMMARY NOTICE

Statement of Plaintiff Recovery

Under the terms of the proposed settlement, Defendants have established a cash settlement fund of $100 million, which is accruing interest. Reasonable costs associated with giving notice to the class and administering the settlement will not be deducted from the settlement fund, but will instead be paid separately by Defendants. After deduction of any attorneys' fees and costs awarded by the Court, the parties will distribute the entire settlement fund, together with interest, to class members in accordance with the Plan of Allocation. The parties estimate that approximately 2,450,000 persons are eligible to claim a share of the settlement fund. If you purchased an AXP Fund your minimum recovery will be $20. If you purchased a Preferred Fund your minimum recovery will be $50, subject to certain contingencies described in Schedule 4. If you purchased an American Express financial plan or other financial advice, you may be entitled to additional settlement compensation. Your recovery will depend on the total number of claims actually submitted by class members, the value of those claims under the Plan of Allocation, and other considerations. Please see the response to Question 10 below and Schedule 4 for details on the calculation of your recovery.

Statement of Potential Outcome of Case

The parties disagree on both liability and damages and do not agree on the average amount of damages per class member that would be recoverable if Plaintiffs were to have prevailed at trial. Defendants deny that they are liable to Plaintiffs or the class and deny that Plaintiffs or the class members have suffered any damages.

Statement of Attorneys' Fees and Costs Sought

Plaintiffs' counsel will submit an application for an award of attorneys' fees and for reimbursement of expenses incurred in connection with the prosecution of this litigation from the settlement fund, in an amount not to exceed twenty seven percent (27%) of the settlement fund, and reimbursement of expenses not to exceed $1 million, or approximately $11 for each member of the class eligible to participate in the settlement. Plaintiffs' counsel have prosecuted this litigation on a contingent fee basis, and have advanced the expenses of the litigation, in the expectation that if they were successful in obtaining a recovery for the class they would be paid from such recovery. In this type of litigation, counsel are often awarded a percentage of the common-fund recovery as their attorneys' fees.

Further Information

You may get further information about the litigation and this notice by calling 1-888-212-5605 toll-free.

Plaintiffs' counsel are Girard Gibbs LLP, 601 California Street, 14th Floor, San Francisco, California 94108; Milberg Weiss & Bershad LLP, One Pennsylvania Plaza, New York, New York 10119-0165; and Stull Stull & Brody, 6 East 45th Street, New York, New York 10017.

Reasons for the Settlement

Plaintiffs' counsel state the principal reason for the settlement is that it represents a favorable outcome for the class, arrived at after comprehensive investigation and analysis of the factual and legal issues surrounding class members' claims. Plaintiffs' counsel further state that the proposed settlement is in the best interests of the class as a whole given Defendants' willingness to settle now for a cash payment of $100 million, payment of notice and settlement administration expenses and adoption of remedial measures to address the alleged problems giving rise to the lawsuit, balanced against the risks presented by the unresolved issues that might have been decided in Defendants' favor, the expense and delay of continued litigation, the risks of taking the case to trial, and the risks and delay presented by an appeal in the event of a favorable outcome at trial.

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## BASIC INFORMATION

### 1. Why did I get this notice package?

You or someone in your family may have purchased one of the mutual funds, financial plans, or fee-for-advice services at issue in this case.

The Court directed that this notice be sent to you because you have a right to know about a proposed settlement of a class action lawsuit that will resolve claims based on those mutual funds, financial plans, or fee-for-advice services, and about all of your options, before the Court decides whether to approve the settlement. If the Court approves the settlement, an administrator appointed by the Court will distribute the settlement money at Defendants' expense.

This package explains the lawsuit, the settlement, your legal rights, what benefits are available, who is eligible for them, and how to get them.

The Court overseeing the case is the United States District Court for the Southern District of New York, and the case is known as In re American Express Financial Advisors Securities Litigation, Case No. 04 Civ. 1773 (DAB). This case has been assigned to United States District Judge Deborah A. Batts. The people who sued are called "Plaintiffs." The people being sued, who are called "Defendants," are American Express Company; American Express Financial Corporation (now known as RiverSource Investments LLC); American Express Financial Advisors Inc. (now known as Ameriprise Financial Services, Inc.); and James M. Cracchiolo, a corporate officer. Another set of entities, called the "Nominal Defendants," are also parties to the settlement and consist of the mutual funds sold under the American Express® or AXP® brand (or its successor brand RiverSource℠). The parties anticipate that this settlement will also resolve a related case known as Haritos v. American Express Financial Advisors, Inc., Case No. 02-2255 PHX-PGR, pending in the United States District Court for the District of Arizona (the "Arizona Case"). The Arizona Case asserts a claim similar to some of the claims asserted in this litigation.

### 2. What is this lawsuit about?

The following is a summary of Plaintiffs' allegations.

*Defendants (referred to collectively as "American Express") claim to offer personalized and objective financial planning and advice to their clients. Instead, during the period covered by the lawsuit, American Express gave clients plans and/or advice that, Plaintiffs allege, was tainted by inadequately disclosed conflicts of interest. Specifically, clients who purchased financial advice, financial plans, or other financial advisory services were given investment recommendations that were improperly influenced by American Express's financial interests rather than the individual needs of American Express clients. Certain non-proprietary mutual funds (the*

*"Preferred Funds") paid American Express to be included among the funds frequently recommended in American Express's financial plans or advice. American Express was paid for selling Preferred Funds through (1) "directed brokerage," whereby the investment advisors to the Preferred Funds directed a certain amount of securities trading business to American Express; and/or (2) "revenue sharing," whereby American Express received a portion of the fees that the investment managers of the Preferred Funds charged their investors. American Express benefited from the management fees it charged investors in the AXP Funds. For a portion of the relevant time period, American Express also received revenue sharing payments in connection with the sale of AXP Funds. These arrangements were not sufficiently disclosed to clients.*

Based on these factual allegations, Plaintiffs assert claims against Defendants under Sections 12(a)(2) and 15 of the Securities Act of 1933; Section 10(b) of the Securities Exchange Act of 1934 and Securities and Exchange Commission Rules 10b-5(a)-(c) and 10b-10 promulgated thereunder; Section 20(a) of the Securities Exchange Act of 1934; the Investment Advisers Act of 1940, 15 U.S.C. §§ 80b-5, 80b-6; the Minnesota Uniform Deceptive Trade Practices Act, Minnesota Consumer Fraud Act, Minnesota False Advertisement Act, and Minnesota Unlawful Trade Practices Act; and for breach of fiduciary duty and unjust enrichment.

The following is a summary of Defendants' defenses.

*Defendants contend that their financial plans and advisory services are personalized, free of undisclosed conflicts of interest, and consistent with the financial planning standards endorsed by the Certified Financial Planner Board of Standards, Inc. Defendants adequately disclosed all potential conflicts of interest, and revenue sharing and directed brokerage arrangements that form the basis of Plaintiffs' claims. In any event, Defendants' business practices caused no damage or loss because such practices had no impact on the value of Defendants' advice or the performance of Plaintiffs' investments. Defendants have always contended, and continue to contend, that they offer quality financial plans, advisory services, and financial products to help clients achieve their financial goals.*

### 3. Why is this a class action?

In a class action, one or more people called class representatives (in this case, Plaintiffs Leonard D. Caldwell, Carol M. Anderson, Donald G. Dobbs, Kathie Kerr, Susan M. Rangeley, and Patrick J. Wollmering) sue on behalf of people who have similar claims. All these people together constitute a plaintiff class. This is a class action because one court resolves all class-wide issues for all people who meet the class definition, except for those who exclude themselves from the class.

### 4. Why is there a settlement?

The Court did not decide in favor of or against Plaintiffs or Defendants. Instead, these parties agreed to a settlement. The settlement was reached through mediation after the parties had fully briefed a motion to dismiss the case but before the Court ruled on the motion. Through the settlement, the parties avoid the risks, delay, and cost of preparing for and going to trial, and the affected class members will get compensation. Plaintiffs and their attorneys think the settlement is in the best interests of the class as a whole. The plaintiffs' attorneys in the Arizona Case have also reviewed and approved of the terms of this settlement.

## WHO IS IN THE CLASS

To see if you will get money from this settlement, you first have to decide if you are a member of the class in this case.

### 5. How do I know if I am part of the class?

**For purposes of the settlement, the Court has provisionally approved this definition of the class:** All persons and entities who, at any time from and including March 10, 1999 through and including April 1, 2006 ("Class Period"), (a) paid a fee for financial advisory services as described in the American Express or Ameriprise Financial Advisory Services Brochure and the Financial Advisory Service Agreement; or (b) purchased through American Express Financial Advisors any mutual fund in the American Express or

Ameriprise Preferred Provider Program, Select Group Program, or other similar program (see list of funds in Schedule 1); or (c) purchased through American Express Financial Advisors any mutual fund sold under the American Express, AXP, or RiverSource brand (see list of funds in Schedule 2); or (d) paid a fee for financial advice, financial planning, or other financial advisory services rendered in connection with the American Express or Ameriprise Strategic Portfolio Service ("SPS") program, Wealth Management Service ("WMS") program, or Separately Managed Account ("SMA") program.

### 6. Who is not included in the class?

Excluded from the class are Defendants; Nominal Defendants; members of Defendant James M. Cracchiolo's immediate family; **persons who have been** employees or agents of any of the Defendants and Nominal Defendants (including financial advisors) **at any time during the Class Period**; any entity in which any Defendant or Nominal Defendant has or had a controlling interest; and the legal affiliates, representatives, heirs, controlling persons, successors, and predecessors in interest or assigns of any such excluded party.

Also excluded from the class are all persons and entities who timely and validly request exclusion from the class in accordance with the requirements described in this notice under question 13 below.

### 7. I am still not sure if I am included.

If you are still not sure whether you are included, you can ask for free help. You can call 1-888-212-5605 or visit www.FinancialFeeSettlement.com for more information.

## THE SETTLEMENT BENEFITS: WHAT YOU GET

### 8. What does the settlement provide?

Defendants have paid $100 million into an interest-bearing account. This amount plus interest makes up the settlement fund. After deducting Court-awarded attorneys' fees and expenses and taxes on income earned by the fund, the balance of this fund will be allocated among all class members who send in a valid proof of claim (included with this Notice).

Defendants will also pay all reasonable costs of notifying class members of the settlement and all reasonable costs of settlement administration. These costs, which are expected to be substantial, will not be charged to the settlement fund.

In addition, Defendants will adopt and implement the remedial measures set out in full in Schedule 3. In summary, these remedial measures require that Defendants (a) provide free training to all financial advisors on mutual fund selection; (b) send a written reminder to all financial advisors and field managers that their investment recommendations must be based primarily on individual suitability considerations; (c) send a written reminder to all financial advisors and field managers that product sales contests must be sponsored by home office and must weigh all mutual fund families equally if mutual funds are to be included in any contest; (d) send a written reminder to advisors that all financial advisors' recommendations of mutual funds to clients be accompanied by appropriate written disclosures explaining financial advisor compensation and any fees/expenses associated with the mutual funds being recommended; (e) prominently display on their website links to disclosures on mutual fund fees and expenses and advisor compensation; and (f) prominently display on their internal financial advisor website a link to enhanced information on client suitability and guidelines for product sales and disclosure of fees, expenses, and compensation. In accordance therewith, Ameriprise directs the Class members' attention to the Investor's Guide to Purchasing Mutual Funds on Ameriprise's website located at www.ameriprise.com/amp/global/docs/200757.pdf.

## HOW YOU GET A PAYMENT: SUBMITTING A PROOF OF CLAIM AND RELEASE FORM

### 9. How can I get a payment?

To qualify for payment, you must send in a proof of claim form. A proof of claim form is attached to this notice. Read the instructions carefully, fill out the form as directed, include all the documents the form asks for, sign it, and mail it postmarked no later than July 10, 2007. If you do not submit a proof of claim form, you will not receive a payment under the settlement.

### 10. How will my payment be determined?

Plaintiffs have proposed a Plan of Allocation for distributing settlement money among class members. At the fairness hearing, the Court will consider whether to approve this plan as well as the settlement. Under the settlement, the amount available for distribution will be the balance of the settlement fund remaining after deduction of Court-awarded attorneys' fees and litigation expenses ("Net Settlement Fund"). The Net Settlement Fund will be distributed among those class members who timely submit valid claims. The following description of the Plan of Allocation is qualified in its entirety by reference to the Plan of Allocation itself, attached as Schedule 4 to this notice.

Under Plaintiffs' proposed plan, claimants who bought AXP funds will be allocated payments of $20 each and claimants who bought Preferred Funds will be allocated payments of $50 each. If the total amount allocated to these categories exceeds 25 percent of the Net Settlement Fund, then the amount allocated to purchasers of Preferred Funds will be reduced so as to bring the total amount down to the 25-percent limit, and the individual allocation to those claimants will be reduced equally. If, however, the reduction would cause the payment to each Preferred Fund claimant to fall below $30, then more money will be allocated to the Preferred Fund claimants, equal to (a) the amount necessary to bring each payment back up to $30, or (b) 5 percent of the Net Settlement Fund, whichever is less.

The balance of the Net Settlement Fund remaining after these allocations will be divided among claimants who paid a fee for financial advisory services pursuant to a Financial Advisory Service Agreement; or paid a fee in connection with an account in the Strategic Portfolio Service program (**"SPS"**), Wealth Management Service program (**"WMS"**), or Separately Managed Account program (**"SMA"**), for services that included financial advice, financial planning, or other financial advisory services. Generally speaking, these claimants will be allocated payments in proportion to the dollar amounts of the financial advisory service fees or **WMS, SMA or** SPS fees they paid. The amount of the payment will depend on how many other class members file claims, when the fees in question were paid, whether the claimant also purchased an AXP proprietary product during the Class Period (such as an AXP mutual fund, annuity, or life insurance policy), and other factors.

The distribution to a claimant who falls into more than one of the four categories will be the total of the amounts allocated for each applicable category. Payment will be by check.

### 11. When will I get my payment?

The Court will hold a hearing on June 4, 2007 at 10:00 a.m., to decide whether to approve the settlement. Under the terms of the settlement, the money will not be distributed until there is no possibility of appeal. If there are no appeals, the parties will seek to distribute your share of the settlement fund within six months of receipt by the claims administrator of claims data to be provided by Defendants. An appeal by a class member would likely delay your payment.

### 12. What am I giving up to get a payment or stay in the class?

Unless you exclude yourself, you will continue to be a member of the class, and that means that if the settlement is approved, you will release all "Released Claims" against the "Released Persons," and you will be prohibited from bringing or participating in any other cases concerning the "Released Claims" against the "Released Persons."

"Released Claims" means any and all claims, debts, demands, rights or causes of action or liabilities whatsoever (including, but not limited to, any claims for damages, interest, attorneys' fees, expert or consulting fees, specific performance, injunction, and any other fees, costs, expenses, liabilities, and/or remedies whatsoever), whether based on federal, state, local, statutory or common law or any other law, rule or regulation, whether fixed or contingent, accrued or un-accrued, liquidated or un-liquidated, at law or in equity, matured or un-matured, whether class, individual or derivative in nature, whether or not asserted, threatened, alleged, or litigated, at law, equity or otherwise, including both known claims and Unknown Claims (as defined, below), that (i) have been asserted in this Action by the Plaintiffs or their attorneys or any of them against any of the Released Persons; or (ii) could have been asserted in any forum by the Plaintiffs or Class Members or their attorneys or any of them or the successors and assigns of any of them against any of the Released Persons; including claims that arise out of or are based upon (a) the allegations, transactions, facts, matters or occurrences, representations or omissions alleged, involved, set forth, or referred to in the Consolidated Amended Class Action Complaint filed in this Action on or about September 24, 2004, and the Complaint (as defined), (b) the offer and sale of financial advice, financial planning, and/or other financial advisory services pursuant to a Financial Advisory Service Agreement, or the SPS, WMS or SMA programs, (c) fees paid for financial advice, financial planning, and/or other financial advisory services provided pursuant to a Financial Advisory Service Agreement, or the SPS, WMS or SMA programs, (d) the rendering of financial advice, financial planning, and/or other financial advisory services for a fee in connection with the purchase or sale of AXP Funds (as defined) or other proprietary investment products, (e) the rendering of financial advice, financial planning, and/or other financial advisory services for a fee in connection with the purchase or sale of Preferred Funds (as defined), (f) the purchase or sale of AXP Funds and/or Preferred Funds through AEFA by Class Members, or (g) the receipt or payment of revenue sharing and/or directed brokerage in connection with the purchase or sale of AXP Funds or Preferred Funds. "Released Claims" shall not include suitability claims unless such claims are alleged to arise out of the common course of conduct that was alleged, or could have been alleged, in the Action, as more fully described herein. "Released Claims" shall not include derivative claims by shareholders of the AXP Funds, on behalf of those funds, against the Defendants, including the action styled, *Gallus v. American Express Financial Corporation and AEFA*, Case No. 04-4498 (DWF/JSM) (D. Minn.).

"Released Persons" means Defendants, Nominal Defendants, and all of their parent companies, affiliates, subsidiaries, divisions, successors-in-interest, successors, predecessors-in-interest, predecessors, and assigns, as well as all agents, employees, financial advisors, affiliated independent contractors, managers, officers, directors, attorneys, and other persons representing them or acting on their behalf during the Class Period.

The release will prevent you from suing Defendants over claims that arise from or are based on the offer and sale of financial planning services or financial advice provided to you by Defendants, including claims to recover the fees you paid for financial advisory services or advice and claims that you were "steered" toward particular investments that were more profitable for American Express. The release will also prevent you from suing on claims that arise from or are based on your purchases through Defendants of any of the American Express mutual funds listed in Schedule 1 and any of the "Preferred Program Funds" listed in Schedule 2. The release applies to the period between March 10, 1999 and April 1, 2006. If you think you have a claim against Defendants, you should contact one of Plaintiffs' Co-Lead Counsel (at no expense) or another attorney (at your own expense) for assistance.

If you remain a class member, all of the Court's orders will apply to you and legally bind you.

## EXCLUDING YOURSELF FROM THE SETTLEMENT

If you do not want a payment from this settlement, but you want to retain any right to sue or continue to assert any of the Released Claims on your own against any Defendant or other Released Person, then you must take steps to get out of the class. This is called excluding yourself from the class, and is sometimes referred to as "opting out" of the class.

13. How do I get out of the class and settlement?

To exclude yourself from the class and settlement, you must send a written request by mail that clearly states your name, address, and telephone number; states that you request to be excluded from the class and settlement in the American Express Financial Advisors Securities Litigation; and is signed by you. You must mail your exclusion request, postmarked no later than May 7, 2007, to:

**AEFA Securities Litigation Settlement**
c/o The Garden City Group, Inc.
PO Box 9089
Dublin, OH 43017-0989

You cannot exclude yourself by phone or e-mail. If you exclude yourself from the class, you will not be entitled to any payment under the settlement, and you will have no right to comment in support of, or in opposition to, the settlement. If you exclude yourself from the class, you will not be legally bound by anything that happens in this lawsuit, and you may be able to sue (or continue to sue) Defendants and other Released Persons in the future.

14. If I do not exclude myself (that is, if I stay in the class), can I bring a lawsuit for the same thing later?

No. Unless you exclude yourself, you give up any rights to bring a lawsuit asserting any of the Released Claims against any Defendant or other Released Person. If you have a pending lawsuit that you believe concerns the Released Claims or the same matters alleged in this case, speak to your lawyer in that lawsuit immediately. You will likely have to exclude yourself from this class and settlement to continue your own lawsuit. Remember, the exclusion deadline is May 7, 2007.

15. If I exclude myself, can I get money from this settlement?

No. You will, however, retain your right to bring a lawsuit, continue to pursue an existing lawsuit, or be part of a different lawsuit asserting a Released Claim against a Released Person. If you exclude yourself, do not send in a proof of claim form.

## THE LAWYERS REPRESENTING YOU

16. Do I have a lawyer in this case?

Yes. The Court ordered that the following law firms will represent you and the other Class Members: Girard Gibbs LLP, 601 California Street, Suite 1400, San Francisco, California 94108; Milberg Weiss & Bershad LLP, One Pennsylvania Plaza, New York, New York 10119-0165; and Stull Stull & Brody, 6 East 45th Street, New York, New York 10017. These law firms are called Plaintiffs' Co-Lead Counsel. You can contact them toll-free at 1-888-212-5605. If you want to be represented by your own lawyer, you may hire one at your own expense.

17. How will the lawyers be paid?

Plaintiffs' Co-Lead Counsel will submit an application for an award of attorneys' fees and for reimbursement of expenses from the settlement fund in an amount not to exceed 27% the settlement fund, and reimbursement of expenses incurred in connection with the prosecution of this litigation not to exceed $1 million, plus interest on such fees and expenses at the same rate as earned by the settlement fund. A portion of any attorneys' fees awarded to Plaintiffs' Co-Lead Counsel will be allocated to plaintiffs' counsel in the Arizona Case to compensate them for their services in that litigation, including substantial motion practice and discovery in support of their motion for class certification. Plaintiffs' Co-Lead Counsel will apply for authorization to pay, from the amount awarded by the Court for attorneys' fees and reimbursement of expenses, incentive awards of $5,000 to each of the six class representatives in this action and each of the five plaintiffs in the Arizona Case.

Plaintiffs' Co-Lead Counsel, without further notice to the class, may subsequently apply to the Court for fees and expenses they incur in connection with any proceedings after the fairness hearing (described below).

## COMMENTING ON THE SETTLEMENT

18. How can I comment in support of, or in opposition to, the settlement?

If you are a class member, you may comment in support of, or in opposition to, the settlement and/or the application for attorneys' fees and expenses. The Court will consider your views. To comment on the settlement, you must send a signed statement saying that you support or oppose the proposed settlement or the application for attorneys' fees in In re American Express Financial Advisors Securities Litigation, Master File No. 04 Civ. 1773 (DAB). **You must include your name, address, telephone number, and your signature; and state the reasons why you support or oppose the proposed settlement or the application for attorneys' fees. Mail your comments to each of the following addresses, postmarked no later than May 7, 2007:**

| COURT | PLAINTIFFS' CO-LEAD COUNSEL | DEFENSE COUNSEL |
|---|---|---|
| In re American Express Financial Advisors Sec. Lit., Case No. 04 Civ. 1773 (DAB)<br>Clerk of Court<br>United States District Court for the Southern District of New York<br>Daniel Patrick Moynihan United States Courthouse<br>500 Pearl Street, Room 2510<br>New York, NY 10007-1312 | Girard Gibbs LLP<br>Daniel C. Girard<br>601 California Street<br>14th Floor<br>San Francisco, CA 94108<br>Tel. (415) 981-4800 | Wilmer Cutler Pickering Hale and Dorr LLP<br>Peter K. Vigeland<br>399 Park Avenue<br>New York, NY 10022<br>Tel. (212) 230-8800 |

19. What is the difference between commenting on the settlement and excluding myself?

Commenting is simply telling the Court that you support or oppose the settlement. You may comment upon the settlement only if you stay in the class. Excluding yourself is telling the Court that you do not want to be part of the class and the settlement at all.

## THE COURT'S FAIRNESS HEARING

The Court will hold a hearing to decide whether to approve the settlement. You may come to the hearing and you may ask to speak, but you do not have to.

20. When and where will the Court decide whether to approve the settlement?

The Court will hold a fairness hearing on June 4, 2007, at 10:00 a.m., at the United States District Court for the Southern District of New York, Daniel Patrick Moynihan United States Courthouse, 500 Pearl Street, New York, New York, in Courtroom 24B. At this hearing, the Court will consider whether the settlement is fair, reasonable, and adequate. If written comments in support or in opposition to the settlement have been submitted, the Court will consider them. The Court will listen to people who have made a timely request to speak at the hearing. The Court also may decide how much to award Plaintiffs' Co-Lead Counsel for attorneys' fees and reimbursement of expenses, and whether and in what amount incentive awards should be given to the lead plaintiffs. After the hearing, the Court will decide whether to approve the settlement.

| 21. Do I have to come to the Fairness Hearing? |
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No. Plaintiffs' Co-Lead Counsel will answer questions the Court may have. But you may attend at your own expense. If you send written comments in support of or in opposition to the settlement, you do not have to come to Court to talk about them. As long as you mailed your written comments on time, the Court will consider them. You also may pay your own lawyer to attend, but it is not necessary.

| 22. May I speak at the fairness hearing? |
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You may ask the Court for permission to speak at the fairness hearing. You may appear at the fairness hearing in person or through an attorney who is retained and paid by you. To ask the Court's permission to appear at the fairness hearing, you must include with your written comments, described under question 18 above, a statement that you intend to appear at the fairness hearing in In re American Express Financial Advisors Securities Litigation. If you intend to have any witnesses testify or intend to introduce any evidence at the fairness hearing, you must list the witnesses and evidence in your written comments. Be sure to comply with all of the other listed requirements for submitting written comments, including the postmark deadline of May 7, 2007. You cannot speak at the hearing if you exclude yourself.

## IF YOU DO NOTHING

| 23. What happens if I do nothing at all? |
|---|

If you do nothing, you will get no money from this settlement. Unless you exclude yourself, you will not be able to bring a lawsuit, continue to pursue an existing lawsuit asserting any Released Claim against any Released Person, or be part of a different lawsuit asserting any Released Claim against any Released Person.

## GETTING MORE INFORMATION

| 24. How do I get more information? |
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This notice summarizes the proposed settlement. More details are in a Stipulation of Settlement dated January 18, 2007. You can get a copy of the Stipulation of Settlement by calling the claims administrator, The Garden City Group, Inc., toll-free at 1-888-212-5605 or by visiting the website of the claims administrator, The Garden City Group, Inc., at www.FinancialFeeSettlement.com. At the website, you will also find other information to help you determine whether you are a class member and whether you are eligible for a payment. You can also call the claims administrator at the above number with questions about submitting a proof of claim. Any other questions should be directed to Plaintiffs' Co-Lead Counsel identified under question 16 above. Please do not call the Court.

Date: February 15, 2007.

BY ORDER OF THE COURT
DEBORAH A. BATTS
UNITED STATES DISTRICT JUDGE

# PROPRIETARY FUNDS

| | |
|---|---|
| IBLUX | AXP BLUE CHIP ADVANTAGE FUND - CLASS A |
| IDBCX | AXP BLUE CHIP ADVANTAGE FUND - CLASS B |
| AXACX | AXP BLUE CHIP ADVANTAGE FUND - CLASS C |
| IBCYX | AXP BLUE CHIP ADVANTAGE FUND - CLASS Y |
| ACBAX | AXP CORE BOND A |
| ICBBX | AXP CORE BOND B |
| ICBCX | AXP CORE BOND C |
| ICBYX | AXP CORE BOND Y |
| INDYX | AXP DISCOVERY A |
| IDIBX | AXP DISCOVERY B |
| IDCYX | AXP DISCOVERY C |
| IDVYX | AXP DISCOVERY Y |
| INBNX | AXP DIVERSIFIED BOND A |
| ININX | AXP DIVERSIFIED BOND B |
| AXBCX | AXP DIVERSIFIED BOND C |
| IDBYX | AXP DIVERSIFIED BOND Y |
| INDZX | AXP DIVERSIFIED EQUITY INCOME A |
| IDEBX | AXP DIVERSIFIED EQUITY INCOME B |
| ADECX | AXP DIVERSIFIED EQUITY INCOME C |
| IDQYX | AXP DIVERSIFIED EQUITY INCOME Y |
| INUTX | AXP DIVIDEND OPPORTUNITY A |
| IUTBX | AXP DIVIDEND OPPORTUNITY B |
| ACUIX | AXP DIVIDEND OPPORTUNITY C |
| AXXIZ | AXP DIVIDEND OPPORTUNITY Y |
| INVPX | AXP EQUITY SELECT A |
| IDQBX | AXP EQUITY SELECT B |
| AESCX | AXP EQUITY SELECT C |
| IESYX | AXP EQUITY SELECT Y |
| IEVAX | AXP EQUITY VALUE A |
| INEGX | AXP EQUITY VALUE B |
| IEVCX | AXP EQUITY VALUE C |
| AEVYX | AXP EQUITY VALUE Y |
| AFAFX | AXP FOCUSED GROWTH FUND - CLASS A |
| AFTBX | AXP FOCUSED GROWTH FUND - CLASS B |
| AEFCX | AXP FOCUSED GROWTH FUND - CLASS C |
| IFCIZ | AXP FOCUSED GROWTH FUND - CLASS Y |
| IGBFX | AXP GLOBAL BOND A |
| IGLOX | AXP GLOBAL BOND B |
| AGBCX | AXP GLOBAL BOND C |
| ABXIZ | AXP GLOBAL BOND Y |
| AXIAX | AXP GLOBAL TECHNOLOGY A |
| INVBX | AXP GLOBAL TECHNOLOGY B |
| AXICX | AXP GLOBAL TECHNOLOGY C |
| AXYIZ | AXP GLOBAL TECHNOLOGY Y |
| INIDX | AXP GROWTH A |
| IGRBX | AXP GROWTH B |
| AXGCX | AXP GROWTH C |
| AXDAX | AXP GROWTH DIMENSIONS FUND - CLASS A |
| ABGDX | AXP GROWTH DIMENSIONS FUND - CLASS B |
| AXGDX | AXP GROWTH DIMENSIONS FUND - CLASS C |
| AXDIZ | AXP GROWTH DIMENSIONS FUND - CLASS Y |
| IGRYX | AXP GROWTH Y |
| INEAX | AXP HIGH YIELD BOND A |
| IEIBX | AXP HIGH YIELD BOND B |
| APECX | AXP HIGH YIELD BOND C |
| AXNCZ | AXP HIGH YIELD BOND Y |
| INHYX | AXP HIGH YIELD TAX EXEMPT A |
| IHYBX | AXP HIGH YIELD TAX EXEMPT B |
| AHECX | AXP HIGH YIELD TAX EXEMPT C |
| IINSX | AXP INSURED TAX EXEMPT A |
| IINBX | AXP INSURED TAX EXEMPT B |
| IICNX | AXP INSURED TAX EXEMPT C |
| INFAX | AXP INTERMEDIATE TAX EXEMPT A |
| INFBX | AXP INTERMEDIATE TAX EXEMPT B |
| INFCX | AXP INTERMEDIATE TAX EXEMPT C |
| AXCCZ | AXP INTERNATIONAL EQUITY INDEX FUND - CLASS D |
| AIEEX | AXP INTERNATIONAL EQUITY INDEX FUND - CLASS E |

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| ALEAX | AXP LARGE CAP EQUITY A |
| ALEBX | AXP LARGE CAP EQUITY B |
| ARQCX | AXP LARGE CAP EQUITY C |
| ALYCZ | AXP LARGE CAP EQUITY Y |
| IMRFX | AXP MANAGED ALLOCATION A |
| IMRBX | AXP MANAGED ALLOCATION B |
| IMRCX | AXP MANAGED ALLOCATION C |
| IDRYX | AXP MANAGED ALLOCATION Y |
| AMIDX | AXP MID CAP INDEX FUND - CLASS D |
| AXMCX | AXP MID CAP INDEX FUND - CLASS E |
| AMVAX | AXP MID CAP VALUE A |
| AMVBX | AXP MID CAP VALUE B |
| AMVCX | AXP MID CAP VALUE C |
| AMYCZ | AXP MID CAP VALUE Y |
| INMUX | AXP MUTUAL A |
| IDMBX | AXP MUTUAL B |
| IDMCX | AXP MUTUAL C |
| IDMYX | AXP MUTUAL Y |
| INDDX | AXP NASDAQ 100 INDEX FUND - CLASS D |
| AXIEX | AXP NASDAQ 100 INDEX FUND - CLASS E |
| INNDX | AXP NEW DIMENSIONS A |
| INDBX | AXP NEW DIMENSIONS B |
| ANDCX | AXP NEW DIMENSIONS C |
| IDNYX | AXP NEW DIMENSIONS Y |
| AFVAX | AXP PARTNERS FUNDAMENTAL VALUE A |
| AFVBX | AXP PARTNERS FUNDAMENTAL VALUE B |
| AFVCX | AXP PARTNERS FUNDAMENTAL VALUE C |
| AFVYX | AXP PARTNERS FUNDAMENTAL VALUE Y |
| AXPAX | AXP PARTNERS GROWTH A |
| AXRBX | AXP PARTNERS GROWTH B |
| AXRCX | AXP PARTNERS GROWTH C |
| AXRYX | AXP PARTNERS GROWTH Y |
| AXGAX | AXP PARTNERS INTERNATIONAL AGGRESSIVE GROWTH A |
| APIBX | AXP PARTNERS INTERNATIONAL AGGRESSIVE GROWTH B |
| APAGX | AXP PARTNERS INTERNATIONAL AGGRESSIVE GROWTH C |
| AIAYX | AXP PARTNERS INTERNATIONAL AGGRESSIVE GROWTH Y |
| AAICX | AXP PARTNERS INTERNATIONAL CORE A |
| APCBX | AXP PARTNERS INTERNATIONAL CORE B |
| AXCCX | AXP PARTNERS INTERNATIONAL CORE C |
| AXCYX | AXP PARTNERS INTERNATIONAL CORE Y |
| APIAX | AXP PARTNERS INTERNATIONAL SELECT VALUE A |
| AXIBX | AXP PARTNERS INTERNATIONAL SELECT VALUE B |
| APICX | AXP PARTNERS INTERNATIONAL SELECT VALUE C |
| AIVYX | AXP PARTNERS INTERNATIONAL SELECT VALUE Y |
| AXVAX | AXP PARTNERS SELECT VALUE A |
| AXVBX | AXP PARTNERS SELECT VALUE B |
| ACSVX | AXP PARTNERS SELECT VALUE C |
| AXSCZ | AXP PARTNERS SELECT VALUE Y |
| AXSAX | AXP PARTNERS SMALL CAP CORE A |
| AXSBX | AXP PARTNERS SMALL CAP CORE B |
| ACSMX | AXP PARTNERS SMALL CAP CORE C |
| ASYCZ | AXP PARTNERS SMALL CAP CORE Y |
| AXSCX | AXP PARTNERS SMALL CAP GROWTH A |
| ASGBX | AXP PARTNERS SMALL CAP GROWTH B |
| APRCX | AXP PARTNERS SMALL CAP GROWTH C |
| ISCCZ | AXP PARTNERS SMALL CAP GROWTH Y |
| ASVAX | AXP PARTNERS SMALL CAP VALUE A |
| ASVBX | AXP PARTNERS SMALL CAP VALUE B |
| APVCX | AXP PARTNERS SMALL CAP VALUE C |
| APSYX | AXP PARTNERS SMALL CAP VALUE Y |
| AVLAX | AXP PARTNERS VALUE A |
| AVFBX | AXP PARTNERS VALUE B |
| AVUCX | AXP PARTNERS VALUE C |
| APVYX | AXP PARTNERS VALUE Y |
| INPRX | AXP PROGRESSIVE FUND - CLASS A |

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|---|---|
| IPRBX | AXP PROGRESSIVE FUND - CLASS B |
| IPRCX | AXP PROGRESSIVE FUND - CLASS C |
| IPRYX | AXP PROGRESSIVE FUND - CLASS Y |
| IRDAX | AXP RESEARCH OPPORTUNITIES FUND - CLASS A |
| IROBX | AXP RESEARCH OPPORTUNITIES FUND - CLASS B |
| IROCX | AXP RESEARCH OPPORTUNITIES FUND - CLASS C |
| AROIZ | AXP RESEARCH OPPORTUNITIES FUND - CLASS Y |
| ADIDX | AXP S&P 500 INDEX D |
| ADIEX | AXP S&P 500 INDEX E |
| INSEX | AXP SELECTIVE A |
| ISEBX | AXP SELECTIVE B |
| ASLCX | AXP SELECTIVE C |
| IDEYX | AXP SELECTIVE Y |
| IFINX | AXP SHORT DURATION US GOVERNMENT A |
| ISHOX | AXP SHORT DURATION US GOVERNMENT B |
| AXFCX | AXP SHORT DURATION US GOVERNMENT C |
| IDFYX | AXP SHORT DURATION US GOVERNMENT Y |
| ASAAX | AXP SMALL CAP ADVANTAGE A |
| ASABX | AXP SMALL CAP ADVANTAGE B |
| ADVCX | AXP SMALL CAP ADVANTAGE C |
| AXSIZ | AXP SMALL CAP ADVANTAGE Y |
| ISIAX | AXP SMALL COMPANY INDEX A |
| ISIBX | AXP SMALL COMPANY INDEX B |
| ISCYX | AXP SMALL COMPANY INDEX Y |
| INSTX | AXP STOCK A |
| IDSBX | AXP STOCK B |
| INSCX | AXP STOCK C |
| IDSYX | AXP STOCK Y |
| ISAAX | AXP STRATEGY AGGRESSIVE A |
| INAGX | AXP STRATEGY AGGRESSIVE B |
| ASACX | AXP STRATEGY AGGRESSIVE C |
| ASAYX | AXP STRATEGY AGGRESSIVE Y |
| INTAX | AXP TAX EXEMPT BOND A |
| ITEBX | AXP TAX EXEMPT BOND B |
| AXECX | AXP TAX EXEMPT BOND C |
| IDEAX | AXP THREADNEEDLE EMERGING MARKETS A |
| IEMBX | AXP THREADNEEDLE EMERGING MARKETS B |
| IEMCX | AXP THREADNEEDLE EMERGING MARKETS C |
| AXECZ | AXP THREADNEEDLE EMERGING MARKETS Y |
| AXEAX | AXP THREADNEEDLE EUROPEAN EQUITY A |
| AEEBX | AXP THREADNEEDLE EUROPEAN EQUITY B |
| AEECX | AXP THREADNEEDLE EUROPEAN EQUITY C |
| AEEIZ | AXP THREADNEEDLE EUROPEAN EQUITY Y |
| IDGAX | AXP THREADNEEDLE GLOBAL BALANCED A |
| IGBBX | AXP THREADNEEDLE GLOBAL BALANCED B |
| IGBCX | AXP THREADNEEDLE GLOBAL BALANCED C |
| AGBYX | AXP THREADNEEDLE GLOBAL BALANCED Y |
| IGLGX | AXP THREADNEEDLE GLOBAL EQUITY A |
| IDGBX | AXP THREADNEEDLE GLOBAL EQUITY B |
| ICDGX | AXP THREADNEEDLE GLOBAL EQUITY C |
| IDGYX | AXP THREADNEEDLE GLOBAL EQUITY Y |
| INIFX | AXP THREADNEEDLE INTERNATIONAL A |
| IWWGX | AXP THREADNEEDLE INTERNATIONAL B |
| IWWCX | AXP THREADNEEDLE INTERNATIONAL C |
| IDIYX | AXP THREADNEEDLE INTERNATIONAL Y |
| ATSIZ | AXP TOTAL STOCK MARKET INDEX FUND - CLASS D |
| ATMCZ | AXP TOTAL STOCK MARKET INDEX FUND - CLASS E |
| AUGAX | AXP U.S. GOVT MORTGAGE A |
| AUGBX | AXP U.S. GOVT MORTGAGE B |
| AUGCX | AXP U.S. GOVT MORTGAGE C |
| AUMCZ | AXP U.S. GOVT MORTGAGE Y |
| RRCAX | RVS ABSOLUTE RETURN CURRENCY & INCOME FD CL A |

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| RRCBX | RVS ABSOLUTE RETURN CURRENCY & INCOME FD CL B |
| RRCCX | RVS ABSOLUTE RETURN CURRENCY & INCOME FD CL C |
| RRCIX | RVS ABSOLUTE RETURN CURRENCY & INCOME FD CL I |
| RRCYX | RVS ABSOLUTE RETURN CURRENCY & INCOME FD CL Y |
| ASGFX | RVS AGGRESSIVE GROWTH FUND CL A |
| ARGBX | RVS AGGRESSIVE GROWTH FUND CL B |
| APCGX | RVS AGGRESSIVE GROWTH FUND CL C |
| APAIX | RVS AGGRESSIVE GROWTH FUND CL I |
| APYGX | RVS AGGRESSIVE GROWTH FUND CL Y |
| INMUX | RVS BALANCED FUND CL A |
| IDMBX | RVS BALANCED FUND CL B |
| IDMCX | RVS BALANCED FUND CL C |
| IDMYX | RVS BALANCED FUND CL Y |
| ICALX | RVS CALIFORNIA TAX-EXEMPT FUND - CLASS A |
| ACABX | RVS CALIFORNIA TAX-EXEMPT FUND - CLASS B |
| ICATX | RVS CALIFORNIA TAX-EXEMPT FUND - CLASS C |
| ICAYX | RVS CALIFORNIA TAX-EXEMPT FUND - CLASS Y |
| ACBAX | RVS CORE BOND FUND - CLASS A |
| ICBBX | RVS CORE BOND FUND - CLASS B |
| ICBCX | RVS CORE BOND FUND - CLASS C |
| ABDIX | RVS CORE BOND FUND - CLASS I |
| ICBYX | RVS CORE BOND FUND - CLASS Y |
| AQEAX | RVS DISCIPLINED EQUITY FUND CL A |
| AQLBX | RVS DISCIPLINED EQUITY FUND CL B |
| AQLCX | RVS DISCIPLINED EQUITY FUND CL C |
| ALEIX | RVS DISCIPLINED EQUITY FUND CL I |
| RQEYX | RVS DISCIPLINED EQUITY FUND CL Y |
| RDIAX | RVS DISCIPLINED INTERNATIONAL EQUITY FD CL A |
| RDIBX | RVS DISCIPLINED INTERNATIONAL EQUITY FD CL B |
| RDICX | RVS DISCIPLINED INTERNATIONAL EQUITY FD CL C |
| RDIIX | RVS DISCIPLINED INTERNATIONAL EQUITY FD CL I |
| RDIYX | RVS DISCIPLINED INTERNATIONAL EQUITY FD CL Y |
| RDEAX | RVS DISCIPLINED SMALL AND MID CAP EQUITY CL A |
| RSMBX | RVS DISCIPLINED SMALL AND MID CAP EQUITY CL B |
| RSMCX | RVS DISCIPLINED SMALL AND MID CAP EQUITY CL C |
| RDEIX | RVS DISCIPLINED SMALL AND MID CAP EQUITY CL I |
| RSMYX | RVS DISCIPLINED SMALL AND MID CAP EQUITY CL Y |
| RDSAX | RVS DISCIPLINED SMALL CAP VALUE FUND CLASS A |
| RDSBX | RVS DISCIPLINED SMALL CAP VALUE FUND CLASS B |
| RDSCX | RVS DISCIPLINED SMALL CAP VALUE FUND CLASS C |
| RDSIX | RVS DISCIPLINED SMALL CAP VALUE FUND CLASS I |
| RDSYX | RVS DISCIPLINED SMALL CAP VALUE FUND CLASS Y |
| INDYX | RVS DISCOVERY FUND - CLASS A |
| IDIBX | RVS DISCOVERY FUND - CLASS B |
| IDCYX | RVS DISCOVERY FUND - CLASS C |
| IDVYX | RVS DISCOVERY FUND - CLASS Y |
| INBNX | RVS DIVERSIFIED BOND FUND - CLASS A |
| ININX | RVS DIVERSIFIED BOND FUND - CLASS B |
| AXBCX | RVS DIVERSIFIED BOND FUND - CLASS C |
| RDBIX | RVS DIVERSIFIED BOND FUND - CLASS I |
| IDBYX | RVS DIVERSIFIED BOND FUND - CLASS Y |
| INDZX | RVS DIVERSIFIED EQUITY INCOME FUND - CLASS A |

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| IDEBX | RVS DIVERSIFIED EQUITY INCOME FUND - CLASS B |
| ADECX | RVS DIVERSIFIED EQUITY INCOME FUND - CLASS C |
| ADIIX | RVS DIVERSIFIED EQUITY INCOME FUND - CLASS I |
| IDQYX | RVS DIVERSIFIED EQUITY INCOME FUND - CLASS Y |
| INUTX | RVS DIVIDEND OPPORTUNITY FUND - CLASS A |
| IUTBX | RVS DIVIDEND OPPORTUNITY FUND - CLASS B |
| ACUIX | RVS DIVIDEND OPPORTUNITY FUND - CLASS C |
| RSOIX | RVS DIVIDEND OPPORTUNITY FUND - CLASS I |
| AIUYX | RVS DIVIDEND OPPORTUNITY FUND - CLASS Y |
| RMBAX | RVS EMERGING MARKETS BOND FUND- CLASS A |
| RMBBX | RVS EMERGING MARKETS BOND FUND- CLASS B |
| RMBCX | RVS EMERGING MARKETS BOND FUND- CLASS C |
| RSMIX | RVS EMERGING MARKETS BOND FUND- CLASS I |
| RMBYX | RVS EMERGING MARKETS BOND FUND- CLASS Y |
| IDEAX | RVS EMERGING MARKETS FUND CL A |
| IEMBX | RVS EMERGING MARKETS FUND CL B |
| IEMCX | RVS EMERGING MARKETS FUND CL C |
| IEMIX | RVS EMERGING MARKETS FUND CL I |
| IEMYX | RVS EMERGING MARKETS FUND CL Y |
| IEVAX | RVS EQUITY VALUE FUND - CLASS A |
| INEGX | RVS EQUITY VALUE FUND - CLASS B |
| IEVCX | RVS EQUITY VALUE FUND - CLASS C |
| IEVIX | RVS EQUITY VALUE FUND - CLASS I |
| AEVYX | RVS EQUITY VALUE FUND - CLASS Y |
| AXEAX | RVS EUROPEAN EQUITY FUND CL A |
| AEEBX | RVS EUROPEAN EQUITY FUND CL B |
| AEECX | RVS EUROPEAN EQUITY FUND CL C |
| AXEIX | RVS EUROPEAN EQUITY FUND CL I |
| AEEYX | RVS EUROPEAN EQUITY FUND CL Y |
| RFRAX | RVS FLOATING RATE FUND-CLASS A |
| RFRBX | RVS FLOATING RATE FUND-CLASS B |
| RFRCX | RVS FLOATING RATE FUND-CLASS C |
| RFRIX | RVS FLOATING RATE FUND-CLASS I |
| RFRYX | RVS FLOATING RATE FUND-CLASS Y |
| AXPAX | RVS FUNDAMENTAL GROWTH FUND CL A |
| AXRBX | RVS FUNDAMENTAL GROWTH FUND CL B |
| AXRCX | RVS FUNDAMENTAL GROWTH FUND CL C |
| APGIX | RVS FUNDAMENTAL GROWTH FUND CL I |
| AXRYX | RVS FUNDAMENTAL GROWTH FUND CL Y |
| AFVAX | RVS FUNDAMENTAL VALUE FUND CL A |
| AFVBX | RVS FUNDAMENTAL VALUE FUND CL B |
| AFVCX | RVS FUNDAMENTAL VALUE FUND CL C |
| AFVIX | RVS FUNDAMENTAL VALUE FUND CL I |
| AFVYX | RVS FUNDAMENTAL VALUE FUND CL Y |
| IDGAX | RVS GLOBAL BALANCED FUND CL A |
| IGBBX | RVS GLOBAL BALANCED FUND CL B |
| IGBCX | RVS GLOBAL BALANCED FUND CL C |
| AGBYX | RVS GLOBAL BALANCED FUND CL Y |
| IGBFX | RVS GLOBAL BOND FUND - CLASS A |
| IGLOX | RVS GLOBAL BOND FUND - CLASS B |
| AGBCX | RVS GLOBAL BOND FUND - CLASS C |
| AGBIX | RVS GLOBAL BOND FUND - CLASS I |
| AYGBX | RVS GLOBAL BOND FUND - CLASS Y |
| IGLGX | RVS GLOBAL EQUITY FUND CL A |
| IDGBX | RVS GLOBAL EQUITY FUND CL B |
| ICDGX | RVS GLOBAL EQUITY FUND CL C |
| IDGYX | RVS GLOBAL EQUITY FUND CL Y |
| AXIAX | RVS GLOBAL TECHNOLOGY FUND - CLASS A |
| INVBX | RVS GLOBAL TECHNOLOGY FUND - CLASS B |
| AXICX | RVS GLOBAL TECHNOLOGY FUND - CLASS C |

# PROPRIETARY FUNDS

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|---|---|
| INVIX | RVS GLOBAL TECHNOLOGY FUND - CLASS I |
| AXIYX | RVS GLOBAL TECHNOLOGY FUND - CLASS Y |
| INIDX | RVS GROWTH FUND - CLASS A |
| IGRBX | RVS GROWTH FUND - CLASS B |
| AXGCX | RVS GROWTH FUND - CLASS C |
| AGWIX | RVS GROWTH FUND - CLASS I |
| IGRYX | RVS GROWTH FUND - CLASS Y |
| INEAX | RVS HIGH YIELD BOND FUND - CLASS A |
| IEIBX | RVS HIGH YIELD BOND FUND - CLASS B |
| APECX | RVS HIGH YIELD BOND FUND - CLASS C |
| RSHIX | RVS HIGH YIELD BOND FUND - CLASS I |
| IYHYX | RVS HIGH YIELD BOND FUND - CLASS Y |
| RBBAX | RVS INCOME BUILDER BASIC INCOME FUND CLASS A |
| RBBBX | RVS INCOME BUILDER BASIC INCOME FUND CLASS B |
| RBBCX | RVS INCOME BUILDER BASIC INCOME FUND CLASS C |
| RBBYX | RVS INCOME BUILDER BASIC INCOME FUND CLASS Y |
| RSBAX | RVS INCOME BUILDER ENHANCED INCOME FUND CL A |
| RBEBX | RVS INCOME BUILDER ENHANCED INCOME FUND CL B |
| RBECX | RVS INCOME BUILDER ENHANCED INCOME FUND CL C |
| RBEYX | RVS INCOME BUILDER ENHANCED INCOME FUND CL Y |
| RSMAX | RVS INCOME BUILDER MODERATE INCOME FUND CL A |
| RBMBX | RVS INCOME BUILDER MODERATE INCOME FUND CL B |
| RBMCX | RVS INCOME BUILDER MODERATE INCOME FUND CL C |
| RBMYX | RVS INCOME BUILDER MODERATE INCOME FUND CL Y |
| AIOAX | RVS INCOME OPPORTUNITIES FUND - CLASS A |
| AIOBX | RVS INCOME OPPORTUNITIES FUND - CLASS B |
| AIOCX | RVS INCOME OPPORTUNITIES FUND - CLASS C |
| AOPIX | RVS INCOME OPPORTUNITIES FUND - CLASS I |
| AIOYX | RVS INCOME OPPORTUNITIES FUND - CLASS Y |
| APSAX | RVS INFLATION PROTECTED SECURITIES FUND CL A |
| APSBX | RVS INFLATION PROTECTED SECURITIES FUND CL B |
| ACPTX | RVS INFLATION PROTECTED SECURITIES FUND CL C |
| AIPIX | RVS INFLATION PROTECTED SECURITIES FUND CL I |
| AYPTX | RVS INFLATION PROTECTED SECURITIES FUND CL Y |
| IINSX | RVS INSURED TAX-EXEMPT FUND - CLASS A |
| IINBX | RVS INSURED TAX-EXEMPT FUND - CLASS B |
| IICNX | RVS INSURED TAX-EXEMPT FUND - CLASS C |
| IINYX | RVS INSURED TAX-EXEMPT FUND - CLASS Y |
| INFAX | RVS INTERMEDIATE TAX-EXEMPT FUND - CLASS A |
| INFBX | RVS INTERMEDIATE TAX-EXEMPT FUND - CLASS B |
| INFCX | RVS INTERMEDIATE TAX-EXEMPT FUND - CLASS C |
| INTYX | RVS INTERMEDIATE TAX-EXEMPT FUND - CLASS Y |
| AXGAX | RVS INTERNATIONAL AGGRESSIVE GROWTH FUND CL A |
| APIBX | RVS INTERNATIONAL AGGRESSIVE GROWTH FUND CL B |
| APAGX | RVS INTERNATIONAL AGGRESSIVE GROWTH FUND CL C |

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|---|---|
| AIGGX | RVS INTERNATIONAL AGGRESSIVE GROWTH FUND CL I |
| AIAYX | RVS INTERNATIONAL AGGRESSIVE GROWTH FUND CL Y |
| AAICX | RVS INTERNATIONAL EQUITY FUND CL A |
| APCBX | RVS INTERNATIONAL EQUITY FUND CL B |
| AXCCX | RVS INTERNATIONAL EQUITY FUND CL C |
| AIIIX | RVS INTERNATIONAL EQUITY FUND CL I |
| AXCYX | RVS INTERNATIONAL EQUITY FUND CL Y |
| INIFX | RVS INTERNATIONAL OPPORTUNITY FUND CLASS A |
| IWWGX | RVS INTERNATIONAL OPPORTUNITY FUND CLASS B |
| IWWCX | RVS INTERNATIONAL OPPORTUNITY FUND CLASS C |
| IWWIX | RVS INTERNATIONAL OPPORTUNITY FUND CLASS I |
| IDIYX | RVS INTERNATIONAL OPPORTUNITY FUND CLASS Y |
| APIAX | RVS INTERNATIONAL SELECT VALUE FUND CL A |
| AXIBX | RVS INTERNATIONAL SELECT VALUE FUND CL B |
| APICX | RVS INTERNATIONAL SELECT VALUE FUND CL C |
| APRIX | RVS INTERNATIONAL SELECT VALUE FUND CL I |
| AIVYX | RVS INTERNATIONAL SELECT VALUE FUND CL Y |
| AISCX | RVS INTERNATIONAL SMALL CAP FUND CL A |
| APNBX | RVS INTERNATIONAL SMALL CAP FUND CL B |
| ACPVX | RVS INTERNATIONAL SMALL CAP FUND CL C |
| APVIX | RVS INTERNATIONAL SMALL CAP FUND CL I |
| ACPYX | RVS INTERNATIONAL SMALL CAP FUND CL Y |
| ALEAX | RVS LARGE CAP EQUITY FUND - CLASS A |
| ALEBX | RVS LARGE CAP EQUITY FUND - CLASS B |
| ARQCX | RVS LARGE CAP EQUITY FUND - CLASS C |
| AIRQX | RVS LARGE CAP EQUITY FUND - CLASS I |
| ALYCX | RVS LARGE CAP EQUITY FUND - CLASS Y |
| ALVAX | RVS LARGE CAP VALUE FUND - CLASS A |
| ALVBX | RVS LARGE CAP VALUE FUND - CLASS B |
| ALECX | RVS LARGE CAP VALUE FUND - CLASS C |
| ALCIX | RVS LARGE CAP VALUE FUND - CLASS I |
| ALVYX | RVS LARGE CAP VALUE FUND - CLASS Y |
| ALDAX | RVS LIMITED DURATION BOND FUND - CLASS A |
| ALDBX | RVS LIMITED DURATION BOND FUND - CLASS B |
| ALTCX | RVS LIMITED DURATION BOND FUND - CLASS C |
| ALDIX | RVS LIMITED DURATION BOND FUND - CLASS I |
| ALDYX | RVS LIMITED DURATION BOND FUND - CLASS Y |
| IDMAX | RVS MASSACHUSETTS TAX-EXEMPT FUND - CLASS A |
| AXMBX | RVS MASSACHUSETTS TAX-EXEMPT FUND - CLASS B |
| AXMCX | RVS MASSACHUSETTS TAX-EXEMPT FUND - CLASS C |
| IMAYX | RVS MASSACHUSETTS TAX-EXEMPT FUND - CLASS Y |
| INMIX | RVS MICHIGAN TAX-EXEMPT FUND - CLASS A |
| IBMIX | RVS MICHIGAN TAX-EXEMPT FUND - CLASS B |
| ICMIX | RVS MICHIGAN TAX-EXEMPT FUND - CLASS C |
| IMIYX | RVS MICHIGAN TAX-EXEMPT FUND - CLASS Y |

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|---|---|
| INVPX | RVS MID CAP GROWTH FUND CL A |
| IDQBX | RVS MID CAP GROWTH FUND CL B |
| AESCX | RVS MID CAP GROWTH FUND CL C |
| IESIX | RVS MID CAP GROWTH FUND CL I |
| IESYX | RVS MID CAP GROWTH FUND CL Y |
| AMVAX | RVS MID CAP VALUE FUND - CLASS A |
| AMVBX | RVS MID CAP VALUE FUND - CLASS B |
| AMVCX | RVS MID CAP VALUE FUND - CLASS C |
| AIMVX | RVS MID CAP VALUE FUND - CLASS I |
| RMCVX | RVS MID CAP VALUE FUND - CLASS Y |
| IMNTX | RVS MINNESOTA TAX-EXEMPT FUND - CLASS A |
| IDSMX | RVS MINNESOTA TAX-EXEMPT FUND - CLASS B |
| ICMNX | RVS MINNESOTA TAX-EXEMPT FUND - CLASS C |
| IYMNX | RVS MINNESOTA TAX-EXEMPT FUND - CLASS Y |
| INNDX | RVS NEW DIMENSIONS FUND - CLASS A |
| INDBX | RVS NEW DIMENSIONS FUND - CLASS B |
| ANDCX | RVS NEW DIMENSIONS FUND - CLASS C |
| ANDIX | RVS NEW DIMENSIONS FUND - CLASS I |
| IDNYX | RVS NEW DIMENSIONS FUND - CLASS Y |
| INYKX | RVS NEW YORK TAX-EXEMPT FUND - CLASS A |
| INBYX | RVS NEW YORK TAX-EXEMPT FUND - CLASS B |
| INYCX | RVS NEW YORK TAX-EXEMPT FUND - CLASS C |
| INYYX | RVS NEW YORK TAX-EXEMPT FUND - CLASS Y |
| IOHIX | RVS OHIO TAX-EXEMPT FUND - CLASS A |
| IOHBX | RVS OHIO TAX-EXEMPT FUND - CLASS B |
| IOHCX | RVS OHIO TAX-EXEMPT FUND - CLASS C |
| IOHYX | RVS OHIO TAX-EXEMPT FUND - CLASS Y |
| AUCAX | RVS PORTFOLIO BLDR MOD CONSERVATIVE FUND CL A |
| AMDBX | RVS PORTFOLIO BLDR MOD CONSERVATIVE FUND CL B |
| ICMCX | RVS PORTFOLIO BLDR MOD CONSERVATIVE FUND CL C |
| AMDYX | RVS PORTFOLIO BLDR MOD CONSERVATIVE FUND CL Y |
| AXMAX | RVS PORTFOLIO BLDR MODERATE AGGRESSIVE FUND A |
| ABMBX | RVS PORTFOLIO BLDR MODERATE AGGRESSIVE FUND B |
| IMACX | RVS PORTFOLIO BLDR MODERATE AGGRESSIVE FUND C |
| IMYAX | RVS PORTFOLIO BLDR MODERATE AGGRESSIVE FUND Y |
| AXBAX | RVS PORTFOLIO BUILDER AGGRESSIVE FUND - CL A |
| AXPBX | RVS PORTFOLIO BUILDER AGGRESSIVE FUND - CL B |
| RBGCX | RVS PORTFOLIO BUILDER AGGRESSIVE FUND - CL C |
| IYBAX | RVS PORTFOLIO BUILDER AGGRESSIVE FUND - CL Y |
| ABDAX | RVS PORTFOLIO BUILDER CONSERVATIVE FUND CL A |
| ABBDX | RVS PORTFOLIO BUILDER CONSERVATIVE FUND CL B |
| IBCCX | RVS PORTFOLIO BUILDER CONSERVATIVE FUND CL C |
| IYBCX | RVS PORTFOLIO BUILDER CONSERVATIVE FUND CL Y |
| ABUAX | RVS PORTFOLIO BUILDER MODERATE FUND - CL A |
| AURBX | RVS PORTFOLIO BUILDER MODERATE FUND - CL B |
| IBMCX | RVS PORTFOLIO BUILDER MODERATE FUND - CL C |

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|---|---|
| IBMYX | RVS PORTFOLIO BUILDER MODERATE FUND - CL Y |
| AXTAX | RVS PORTFOLIO BUILDER TOTAL EQUITY FUND CL A |
| AXTBX | RVS PORTFOLIO BUILDER TOTAL EQUITY FUND CL B |
| ICBTX | RVS PORTFOLIO BUILDER TOTAL EQUITY FUND CL C |
| IYBTX | RVS PORTFOLIO BUILDER TOTAL EQUITY FUND CL Y |
| INPMX | RVS PRECIOUS METALS FUND - CLASS A |
| INPBX | RVS PRECIOUS METALS FUND - CLASS B |
| ICNPX | RVS PRECIOUS METALS FUND - CLASS C |
| IPMIX | RVS PRECIOUS METALS FUND - CLASS I |
| INPYX | RVS PRECIOUS METALS FUND - CLASS Y |
| ARLAX | RVS REAL ESTATE FUND - CLASS A |
| AESBX | RVS REAL ESTATE FUND - CLASS B |
| ARLCX | RVS REAL ESTATE FUND - CLASS C |
| AESIX | RVS REAL ESTATE FUND - CLASS I |
| ARLYX | RVS REAL ESTATE FUND - CLASS Y |
| RPAAX | RVS RETIREMENT PLUS 2010 FUND-CLASS A |
| RPAYX | RVS RETIREMENT PLUS 2010 FUND-CLASS Y |
| RPCAX | RVS RETIREMENT PLUS 2015 FUND-CLASS A |
| RPCYX | RVS RETIREMENT PLUS 2015 FUND-CLASS Y |
| RPDAX | RVS RETIREMENT PLUS 2020 FUND-CLASS A |
| RPDYX | RVS RETIREMENT PLUS 2020 FUND-CLASS Y |
| RPFAX | RVS RETIREMENT PLUS 2025 FUND-CLASS A |
| RPFYX | RVS RETIREMENT PLUS 2025 FUND-CLASS Y |
| RPGAX | RVS RETIREMENT PLUS 2030 FUND-CLASS A |
| RPGYX | RVS RETIREMENT PLUS 2030 FUND-CLASS Y |
| RPHAX | RVS RETIREMENT PLUS 2035 FUND-CLASS A |
| RPHYX | RVS RETIREMENT PLUS 2035 FUND-CLASS Y |
| RPIAX | RVS RETIREMENT PLUS 2040 FUND-CLASS A |
| RPIYX | RVS RETIREMENT PLUS 2040 FUND-CLASS Y |
| RPJAX | RVS RETIREMENT PLUS 2045 FUND-CLASS A |
| RPJYX | RVS RETIREMENT PLUS 2045 FUND-CLASS Y |
| ADIDX | RVS S & P 500 INDEX FUND - CLASS D |
| ADIEX | RVS S & P 500 INDEX FUND - CLASS E |
| AXVAX | RVS SELECT VALUE FUND CL A |
| AXVBX | RVS SELECT VALUE FUND CL B |
| ACSVX | RVS SELECT VALUE FUND CL C |
| AXVIX | RVS SELECT VALUE FUND CL I |
| AXVYX | RVS SELECT VALUE FUND CL Y |
| INSEX | RVS SELECTIVE FUND - CLASS A |
| ISEBX | RVS SELECTIVE FUND - CLASS B |
| ASLCX | RVS SELECTIVE FUND - CLASS C |
| ASTIX | RVS SELECTIVE FUND - CLASS I |
| IDEYX | RVS SELECTIVE FUND - CLASS Y |
| IFINX | RVS SHORT DURATION U.S. GOVERNMENT FUND CL A |
| ISHOX | RVS SHORT DURATION U.S. GOVERNMENT FUND CL B |
| AXFCX | RVS SHORT DURATION U.S. GOVERNMENT FUND CL C |
| AXFIX | RVS SHORT DURATION U.S. GOVERNMENT FUND CL I |
| IDFYX | RVS SHORT DURATION U S. GOVERNMENT FUND CL Y |
| ASAAX | RVS SMALL CAP ADVANTAGE FUND - CLASS A |
| ASABX | RVS SMALL CAP ADVANTAGE FUND - CLASS B |
| ADVCX | RVS SMALL CAP ADVANTAGE FUND - CLASS C |
| ASAIX | RVS SMALL CAP ADVANTAGE FUND - CLASS I |
| ASVYX | RVS SMALL CAP ADVANTAGE FUND - CLASS Y |
| AXSAX | RVS SMALL CAP EQUITY FUND CL A |
| AXSBX | RVS SMALL CAP EQUITY FUND CL B |
| ASXCX | RVS SMALL CAP EQUITY FUND CL C |
| AXSIX | RVS SMALL CAP EQUITY FUND CL I |

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|---|---|
| AXSYX | RVS SMALL CAP EQUITY FUND CL Y |
| AXSCX | RVS SMALL CAP GROWTH FUND CL A |
| ASGBX | RVS SMALL CAP GROWTH FUND CL B |
| APRCX | RVS SMALL CAP GROWTH FUND CL C |
| AICGX | RVS SMALL CAP GROWTH FUND CL I |
| ASGYX | RVS SMALL CAP GROWTH FUND CL Y |
| ASVAX | RVS SMALL CAP VALUE FUND CL A |
| ASVBX | RVS SMALL CAP VALUE FUND CL B |
| APVCX | RVS SMALL CAP VALUE FUND CL C |
| APSIX | RVS SMALL CAP VALUE FUND CL I |
| APSYX | RVS SMALL CAP VALUE FUND CL Y |
| ISIAX | RVS SMALL COMPANY INDEX FUND - CLASS A |
| ISIBX | RVS SMALL COMPANY INDEX FUND - CLASS B |
| ISCYX | RVS SMALL COMPANY INDEX FUND - CLASS Y |
| INSTX | RVS STOCK FUND - CLASS A |
| IDSBX | RVS STOCK FUND - CLASS B |
| INSCX | RVS STOCK FUND - CLASS C |
| RSSIX | RVS STOCK FUND - CLASS I |
| IDSYX | RVS STOCK FUND - CLASS Y |
| IMRFX | RVS STRATEGIC ALLOCATION FUND CL A |
| IMRBX | RVS STRATEGIC ALLOCATION FUND CL B |
| RSSCX | RVS STRATEGIC ALLOCATION FUND CL C |
| IDRYX | RVS STRATEGIC ALLOCATION FUND CL Y |
| ISAAX | RVS STRATEGY AGGRESSIVE FUND - CLASS A |
| INAGX | RVS STRATEGY AGGRESSIVE FUND - CLASS B |
| ASACX | RVS STRATEGY AGGRESSIVE FUND - CLASS C |
| ISAIX | RVS STRATEGY AGGRESSIVE FUND - CLASS I |
| ASAYX | RVS STRATEGY AGGRESSIVE FUND - CLASS Y |
| INTAX | RVS TAX-EXEMPT BOND FUND - CLASS A |
| ITEBX | RVS TAX-EXEMPT BOND FUND - CLASS B |
| AXECX | RVS TAX-EXEMPT BOND FUND - CLASS C |
| AXEYX | RVS TAX-EXEMPT BOND FUND - CLASS Y |
| INHYX | RVS TAX-EXEMPT HIGH INCOME FUND CL A |
| IHYBX | RVS TAX-EXEMPT HIGH INCOME FUND CL B |
| AHECX | RVS TAX-EXEMPT HIGH INCOME FUND CL C |
| IHTYX | RVS TAX-EXEMPT HIGH INCOME FUND CL Y |
| AUGAX | RVS U.S. GOVERNMENT MORTGAGE FUND - CLASS A |
| AUGBX | RVS U.S. GOVERNMENT MORTGAGE FUND - CLASS B |
| AUGCX | RVS U.S. GOVERNMENT MORTGAGE FUND - CLASS C |
| AUGIX | RVS U.S. GOVERNMENT MORTGAGE FUND - CLASS I |
| RSGYX | RVS U.S. GOVERNMENT MORTGAGE FUND - CLASS Y |
| AVLAX | RVS VALUE FUND CL A |
| AVFBX | RVS VALUE FUND CL B |
| AVUCX | RVS VALUE FUND CL C |
| AUEIX | RVS VALUE FUND CL I |
| APVYX | RVS VALUE FUND CL Y |

# NON-PROPRIETARY FUNDS

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|---|---|---|---|---|---|---|---|---|---|---|---|
| IAGHX | AIM ADV HEALTH SCIENCE - A | GEUBX* | AIM EUROLAND GROWTH - B | AHAYX* | AIM HIGH YIELD II - A | ANTBX* | AIM NEW TECHNOLOGY - B | BWEIX | AIM WEINGARTEN - B | AIDBX | ALL BERN INTRM DIV MUN - B |
| IGHBX | AIM ADV HEALTH SCIENCE - B | GEUCX* | AIM EUROLAND GROWTH - C | AHBYX* | AIM HIGH YIELD II - B | ANTCX* | AIM NEW TECHNOLOGY - C | CWEIX | AIM WEINGARTEN - C | AIMCX | ALL BERN INTRM DIV MUN - C |
| IAFAX* | AIM ADVISOR FLEX - A | AEDAX | AIM EUROPEAN GROWTH - A | AHCYX* | AIM HIGH YIELD II - C | ASCOX | AIM OPPORTUNITIES I - A | CHCBX* | ALL ALLIANCE - B | ANIAX | ALL BERN INTRM NY MUNI - A |
| IAFBX* | AIM ADVISOR FLEX - B | AEDBX | AIM EUROPEAN GROWTH - B | HYINX | AIM HIGH YIELD INV | SCPBX | AIM OPPORTUNITIES I - B | AALAX | ALL BERN ALL-ASIA INV - A | ANYBX | ALL BERN INTRM NY MUNI - B |
| IAFCX* | AIM ADVISOR FLEX - C | AEDCX | AIM EUROPEAN GROWTH - C | AMIFX | AIM INCOME - A | SCOCX | AIM OPPORTUNITIES I - C | AAABX | ALL BERN ALL-ASIA INV - B | ANMCX | ALL BERN INTRM NY MUNI - C |
| AAGFX | AIM AGGR GROWTH - A | AEDRX | AIM EUROPEAN GROWTH - R | ABIFX | AIM INCOME - B | AMCOX | AIM OPPORTUNITIES II - A | AAACX | ALL BERN ALL-ASIA INV - C | APGAX | ALL BERN L/CAP GROWTH - A |
| AAGBX | AIM AGGR GROWTH - B | EGINX | AIM EUROPEAN GROWTH INV | ACIFX | AIM INCOME - C | MCOVX | AIM OPPORTUNITIES II - B | ANAGX | ALL BERN AMER GOVT INC - A | APGBX | ALL BERN L/CAP GROWTH - B |
| AAGCX | AIM AGGR GROWTH - C | IFSAX | AIM FIN SERVICES - A | AIIVX | AIM INCOME INV | MCODX | AIM OPPORTUNITIES II - C | ANABX | ALL BERN AMER GOVT INC - B | APGCX | ALL BERN L/CAP GROWTH - C |
| ASIAX | AIM ASIA PACIFIC GRW - A | IFSBX | AIM FIN SERVICES - B | AGOVX | AIM INTERM GOVT - A | LCPAX | AIM OPPORTUNITIES III - A | ANACX | ALL BERN AMER GOVT INC - C | APGYX | ALL BERN L/CAP GROWTH ADV |
| ASIBX | AIM ASIA PACIFIC GRW - B | IFSCX | AIM FIN SERVICES - C | AGVBX | AIM INTERM GOVT - B | LCPBX | AIM OPPORTUNITIES III - B | ABWAX | ALL BERN BAL WLTH STR - A | CHCLX | ALL BERN M/CAP GROWTH - A |
| ASICX | AIM ASIA PACIFIC GRW - C | FSFSX | AIM FIN SERVICES INV | AGVCX | AIM INTERM GOVT - C | LCPCX | AIM OPPORTUNITIES III - C | ABWBX | ALL BERN BAL WLTH STR - B | CHCBX | ALL BERN M/CAP GROWTH - B |
| AMBLX | AIM BALANCED - A | GIFAX* | AIM GLB INFRASTRUCT - A | AGIVX | AIM INTERM GOVT INV | AVLFX | AIM PREMIER EQUITY - A | ABWCX | ALL BERN BAL WLTH STR - C | CHCCX | ALL BERN M/CAP GROWTH - C |
| ABLBX | AIM BALANCED - B | GIFBX* | AIM GLB INFRASTRUCT - B | IAVAX* | AIM INTL CORE EQUITY - A | AVLBX | AIM PREMIER EQUITY - B | CABNX | ALL BERN BALANCED - A | CABTX | ALL BERN M/INC INS NAT - A |
| ABLCX | AIM BALANCED - C | GIFCX* | AIM GLB INFRASTRUCT - C | IBVAX | AIM INTL CORE EQUITY - A | AVLCX | AIM PREMIER EQUITY - C | CABBX | ALL BERN BALANCED - B | CBBBX | ALL BERN M/INC INS NAT - B |
| AMBRX | AIM BALANCED - R | GTTCX* | AIM GLB SCIENCE & TECH - A | IAVBX* | AIM INTL CORE EQUITY - B | VIIAX* | AIM PREMIER EQUITY II - A | CBACX | ALL BERN BALANCED - C | CACCX | ALL BERN M/INC INS NAT - C |
| BBLAX | AIM BASIC BALANCED - A | GTTBX* | AIM GLB SCIENCE & TECH - B | IBVBX | AIM INTL CORE EQUITY - B | VIIBX* | AIM PREMIER EQUITY II - B | CBFAX | ALL BERN CORP BOND - A | AMMSX | ALL BERN MULTI MKT STR - A |
| BBLBX | AIM BASIC BALANCED - B | GTTDX* | AIM GLB SCIENCE & TECH - C | IAVCX* | AIM INTL CORE EQUITY - C | VIICX* | AIM PREMIER EQUITY II - C | CBFBX | ALL BERN CORP BOND - B | AMMBX | ALL BERN MULTI MKT STR - B |
| BBLCX | AIM BASIC BALANCED - C | AUTLX* | AIM GLB UTILITIES - A | IBVCX | AIM INTL CORE EQUITY - C | IARAX* | AIM REAL ESTATE - A | CBFCX | ALL BERN CORP BOND - C | AMMCX | ALL BERN MULTI MKT STR - C |
| GTVLX | AIM BASIC VALUE - A | AUTBX* | AIM GLB UTILITIES - B | IIBCX | AIM INTL CORE EQUITY INV | IARAX | AIM REAL ESTATE - A | AGDAX | ALL BERN EMRG MKT DEBT - A | AAZAX | ALL BERN MUN INC II AZ - A |
| GTVBX | AIM BASIC VALUE - B | AUTCX* | AIM GLB UTILITIES - C | AIIEX | AIM INTL GROWTH - A | AARBX* | AIM REAL ESTATE - B | ADGAX | ALL BERN FOC GRW & INC - A | AAZBX | ALL BERN MUN INC II AZ - B |
| GTVCX | AIM BASIC VALUE - C | GPSAX* | AIM GLBL CONS PROD/SER - A | AIEBX | AIM INTL GROWTH - B | AARBX | AIM REAL ESTATE - B | ADGBX | ALL BERN FOC GRW & INC - B | AAZCX | ALL BERN MUN INC II AZ - C |
| ABCAX | AIM BLUE CHIP - A | GPSBX* | AIM GLBL CONS PROD/SER - B | AIECX | AIM INTL GROWTH - C | IARCX* | AIM REAL ESTATE - C | ADGCX | ALL BERN FOC GRW & INC - C | AFLAX | ALL BERN MUN INC II FL - A |
| ABCBX | AIM BLUE CHIP - B | GPSCX* | AIM GLBL CONS PROD/SER - C | IEGAX | AIM INTL SMALL COMPANY - A | IARCX | AIM REAL ESTATE - C | AHLAX | ALL BERN GLB HEALTH - A | AFLBX | ALL BERN MUN INC II FL - B |
| ABCCX | AIM BLUE CHIP - C | GFSAX* | AIM GLBL FIN SERVICES - A | IEGBX | AIM INTL SMALL COMPANY - B | REINX | AIM REAL ESTATE INV | AHLBX | ALL BERN GLB HEALTH - B | AFLBX | ALL BERN MUN INC II FL - B |
| BCIVX | AIM BLUE CHIP INV | GFSBX* | AIM GLBL FIN SERVICES - B | IEGCX | AIM INTL SMALL COMPANY - C | SMEAX | AIM S/CAP EQUITY - A | AHLCX | ALL BERN GLB HEALTH - C | AMAAX | ALL BERN MUN INC II MA - A |
| ACDAX | AIM CAPITAL DEVELOPMNT - A | GFSCX* | AIM GLBL FIN SERVICES - C | GJGRX* | AIM JAPAN GROWTH - A | SMEBX | AIM S/CAP EQUITY - B | AGSAX | ALL BERN GLB STRAT INC - A | AMABX | ALL BERN MUN INC II MA - B |
| ACDBX | AIM CAPITAL DEVELOPMNT - B | AGAAX | AIM GLOBAL AGGR GROWTH - A | GTJBX* | AIM JAPAN GROWTH - B | SMECX | AIM S/CAP EQUITY - C | AGSBX | ALL BERN GLB STRAT INC - B | AMACX | ALL BERN MUN INC II MA - C |
| ACDCX | AIM CAPITAL DEVELOPMNT - C | AGABX | AIM GLOBAL AGGR GROWTH - B | GTJCX* | AIM JAPAN GROWTH - C | GTSAX | AIM S/CAP GROWTH - A | AGCCX | ALL BERN GLB STRAT INC - C | AMIAX | ALL BERN MUN INC II MI - A |
| CHTRX | AIM CHARTER - A | AGACX | AIM GLOBAL AGGR GROWTH - C | LCBAX | AIM L/CAP BASIC VALUE - A | GTSBX | AIM S/CAP GROWTH - B | ALTFX | ALL BERN GLB TECH - A | AMIBX | ALL BERN MUN INC II MI - B |
| BCHTX | AIM CHARTER - B | GTNAX* | AIM GLOBAL ENERGY - A | LCBBX | AIM L/CAP BASIC VALUE - B | GTSDX | AIM S/CAP GROWTH - C | ATEBX | ALL BERN GLB TECH - B | AMICX | ALL BERN MUN INC II MI - C |
| CHTCX | AIM CHARTER - C | GTNBX* | AIM GLOBAL ENERGY - B | LCBCX | AIM L/CAP BASIC VALUE - C | AGWFX | AIM SELECT EQUITY - A | ATECX | ALL BERN GLB TECH - C | AMNAX | ALL BERN MUN INC II MN - A |
| CSTGX | AIM CONSTELLATION - A | GTNCX* | AIM GLOBAL ENERGY - C | LCINX | AIM L/CAP BASIC VALUE INV | AGWBX | AIM SELECT EQUITY - B | ATEYX | ALL BERN GLB TECH ADV | AMNBX | ALL BERN MUN INC II MN - B |
| CSTBX | AIM CONSTELLATION - B | GTNDX | AIM GLOBAL EQUITY - A | LCGAX | AIM L/CAP GROWTH - A | AGWCX | AIM SELECT EQUITY - C | GSCAX* | ALL BERN GLOBAL S/CAP - A | AMNCX | ALL BERN MUN INC II MN - C |
| CSTCX | AIM CONSTELLATION - C | GNDBX | AIM GLOBAL EQUITY - B | LCGBX | AIM L/CAP GROWTH - B | STBCX | AIM SHORT TERM BOND - C | AGCBX* | ALL BERN GLOBAL S/CAP - B | ANJAX | ALL BERN MUN INC II NJ - A |
| CSTRX | AIM CONSTELLATION - R | GNDCX | AIM GLOBAL EQUITY - C | LCGCX | AIM L/CAP GROWTH - C | ISGAX | AIM SMALL CO GROWTH - A | GSCCX* | ALL BERN GLOBAL S/CAP - C | ANJBX | ALL BERN MUN INC II NJ - B |
| ICEAX | AIM CORE STOCK - A | AGGAX | AIM GLOBAL GROWTH - A | LCGIX | AIM L/CAP GROWTH INV | ISGBX | AIM SMALL CO GROWTH - B | ABAGX | ALL BERN GLOBAL VALUE - A | ANJCX | ALL BERN MUN INC II NJ - C |
| ICEBX | AIM CORE STOCK - B | AGGBX | AIM GLOBAL GROWTH - B | GTLAX* | AIM LATIN AMER GROWTH - A | ISGCX | AIM SMALL CO GROWTH - C | ABBGX | ALL BERN GLOBAL VALUE - B | AOHAX | ALL BERN MUN INC II OH - A |
| IINCX | AIM CORE STOCK - C | AGGCX | AIM GLOBAL GROWTH - C | GTLBX* | AIM LATIN AMER GROWTH - B | FIEGX | AIM SMALL CO GROWTH INV | ABCGX | ALL BERN GLOBAL VALUE - C | AOHBX | ALL BERN MUN INC II OH - B |
| FIIIX | AIM CORE STOCK INV | GGHCX | AIM GLOBAL HEALTH CARE - A | ILSAX | AIM LEISURE - A | GSIAX* | AIM STRAT INCOME - A | GCHAX | ALL BERN GREATER CHINA - A | AOHCX | ALL BERN MUN INC II OH - C |
| ADDAX | AIM DENT DEMOGR TRENDS - A | GTHBX | AIM GLOBAL HEALTH CARE - B | ILSBX | AIM LEISURE - B | GSIBX* | AIM STRAT INCOME - B | GCHBX | ALL BERN GREATER CHINA - B | APAAX | ALL BERN MUN INC II PA - A |
| ADDBX | AIM DENT DEMOGR TRENDS - B | GTHCX | AIM GLOBAL HEALTH CARE - C | FLISX | AIM LEISURE INV | GSIDX* | AIM STRAT INCOME - C | AGRFX | ALL BERN GROWTH - A | APABX | ALL BERN MUN INC II PA - B |
| ADDCX | AIM DENT DEMOGR TRENDS - C | AGAIX* | AIM GLOBAL INCOME - A | ALAFX | AIM LIBRA - A | AMCTX* | AIM TAX EXEMPT BOND CT - A | AGBBX | ALL BERN GROWTH - B | APACX | ALL BERN MUN INC II PA - C |
| GTDDX | AIM DEVELOPING MKTS - A | AGBIX* | AIM GLOBAL INCOME - B | ALBFX | AIM LIBRA - B | AITFX | AIM TAX FREE INTERM - A | AGRCX | ALL BERN GROWTH - C | AVAAX | ALL BERN MUN INC II VA - A |
| GTDBX | AIM DEVELOPING MKTS - B | GLICX* | AIM GLOBAL INCOME - C | ALCFX | AIM LIBRA - C | ATFAX | AIM TAX FREE INTERM - A3 | CABDX | ALL BERN GROWTH & INC - A | AVABX | ALL BERN MUN INC II VA - B |
| GTDCX | AIM DEVELOPING MKTS - C | GTNDX* | AIM GLOBAL TRENDS - A | SHTIX | AIM LTD MATURITY TRES - A | ITYAX | AIM TECHNOLOGY - A | CBBDX | ALL BERN GROWTH & INC - B | AVACX | ALL BERN MUN INC II VA - C |
| LCEAX | AIM DIVRSFIED DIVIDEND - A | GNDBX* | AIM GLOBAL TRENDS - B | LMTAX | AIM LTD MATURITY TRES - A3 | ITYBX | AIM TECHNOLOGY - B | CBBCX | ALL BERN GROWTH & INC - C | ALCAX | ALL BERN MUN INCOME CA - A |
| LCEDX | AIM DIVRSFIED DIVIDEND - B | GNDCX* | AIM GLOBAL TRENDS - C | MDCAX | AIM M/CAP BASIC VALUE - A | ITHCX | AIM TECHNOLOGY - C | CBBYX | ALL BERN GROWTH & INC ADV | ALCBX | ALL BERN MUN INCOME CA - B |
| LCEVX | AIM DIVRSFIED DIVIDEND - C | AWSAX | AIM GLOBAL VALUE - A | MDCBX | AIM M/CAP BASIC VALUE - B | FTCHX | AIM TECHNOLOGY INV | AHYAX | ALL BERN HIGH YIELD - A | ACACX | ALL BERN MUN INCOME CA - C |
| IDYAX | AIM DYNAMICS - A | AWSBX | AIM GLOBAL VALUE - B | MDCVX | AIM M/CAP BASIC VALUE - C | IATRX | AIM TOTAL RETURN - A | AHHBX | ALL BERN HIGH YIELD - B | ALTHX | ALL BERN MUNI INC NATL - A |
| IDYBX | AIM DYNAMICS - B | AWSCX | AIM GLOBAL VALUE - C | GTAGX | AIM M/CAP CORE EQUITY - A | IBTRX | AIM TOTAL RETURN - B | AHHCX | ALL BERN HIGH YIELD - C | ALTBX | ALL BERN MUNI INC NATL - B |
| IFDCX | AIM DYNAMICS - C | IGDAX | AIM GOLD & PREC METALS - A | GTABX | AIM M/CAP CORE EQUITY - B | ITRCX | AIM TOTAL RETURN - C | AWPAX | ALL BERN INTL GROWTH - A | ALNCX | ALL BERN MUNI INC NATL - C |
| FIDYX | AIM DYNAMICS INV | IGDBX | AIM GOLD & PREC METALS - B | GTACX | AIM M/CAP CORE EQUITY - C | TBRAX | AIM TOTAL RETURN BOND - A | AWPBX | ALL BERN INTL GROWTH - B | ALNYX | ALL BERN MUNI INC NY - A |
| EMEAX | AIM EMERGING GROWTH - A | FGLDX | AIM GOLD & PREC METALS INV | AMCAX | AIM M/CAP GROWTH - A | TBRDX | AIM TOTAL RETURN BOND - B | AWPCX | ALL BERN INTL GROWTH - C | ALNBX | ALL BERN MUNI INC NY - B |
| EMEBX | AIM EMERGING GROWTH - B | IAHSX | AIM HEALTH SCIENCES - A | AMCBX | AIM M/CAP GROWTH - B | TBRCX | AIM TOTAL RETURN BOND - C | AIPAX | ALL BERN INTL RES GRW - A | ANYCX | ALL BERN MUNI INC NY - C |
| EMECX | AIM EMERGING GROWTH - C | IBHSX | AIM HEALTH SCIENCES - B | AMCVX | AIM M/CAP GROWTH - C | FSFLX | AIM TOTAL RETURN INV | AIPBX | ALL BERN INTL RES GRW - B | BUICX | ALL BERN MUNI INSRD CA - A |
| IENAX | AIM ENERGY - A | IHSCX | AIM HEALTH SCIENCES - C | IMGAX | AIM M/CAP STOCK - A | ATKAX | AIM TRIMARK - A | AIPCX | ALL BERN INTL RES GRW - C | BUIBX | ALL BERN MUNI INSRD CA - B |
| IENBX | AIM ENERGY - B | FHLSX | AIM HEALTH SCIENCES INV | IMGBX | AIM M/CAP STOCK - B | ATDAX | AIM TRIMARK ENDEAVOR - A | ABIAX | ALL BERN INTL VALUE - A | BUCCX | ALL BERN MUNI INSRD CA - C |
| IEFCX | AIM ENERGY - C | AHMAX | AIM HIGH INC MUNI BOND - A | IMGCX | AIM M/CAP STOCK - C | ATIAX | AIM TRIMARK SMALL CO - A | ABIBX | ALL BERN INTL VALUE - B | ANEAX | ALL BERN NEW EUROPE - A |
| FSTEX | AIM ENERGY INV | AHMBX | AIM HIGH INC MUNI BOND - B | AMBDX | AIM MUNI BOND - A | IAUTX | AIM UTILITIES - A | ABICX | ALL BERN INTL VALUE - C | ANEBX | ALL BERN NEW EUROPE - B |
| ESMAX | AIM EURO SMALL COMPANY - A | AHMCX | AIM HIGH INC MUNI BOND - C | AMBBX | AIM MUNI BOND - B | IBUTX | AIM UTILITIES - B | AICAX | ALL BERN INTRM CA MUNI - A | ANECX | ALL BERN NEW EUROPE - C |
| ESMBX | AIM EURO SMALL COMPANY - B | AMHYX | AIM HIGH YIELD - A | AMBCX | AIM MUNI BOND - C | IUTCX | AIM UTILITIES - C | ACLBX | ALL BERN INTRM CA MUNI - B | ABQBX | ALL BERN QUALITY BOND - B |
| ESMCX | AIM EURO SMALL COMPANY - C | AHYBX | AIM HIGH YIELD - B | AMBIX | AIM MUNI BOND INV | FSTUX | AIM UTILITIES INV | ACMCX | ALL BERN INTRM CA MUNI - C | ABQCX | ALL BERN QUALITY BOND - C |
| GTGEX* | AIM EUROLAND GROWTH - A | AHYCX | AIM HIGH YIELD - C | ANTAX* | AIM NEW TECHNOLOGY - A | WEINX | AIM WEINGARTEN - A | AIDAX | ALL BERN INTRM DIV MUN - A | AREAX | ALL BERN REAL ESTATE - A |

# NON-PROPRIETARY FUNDS

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|---|---|---|---|---|---|---|---|---|---|---|---|
| AREBX | ALL BERN REAL ESTATE - B | TWBIX | AM CENT BALANCED INV | CAIGX | AM CENT INTL GROWTH - A | CCIMX | CAL CA LTD TERM MUNI - A | GBAAX | COL ASSET ALLOCATION - G | CMISX | COL INTL STOCK - Z |
| ARECX | ALL BERN REAL ESTATE - C | ABBAX* | AM CENT BOND ADV | CBIGX | AM CENT INTL GROWTH - B | CCAFX | CAL CAP ACCUMULATION - A | GAAAX | COL ASSET ALLOCATION - T | LIBAX | COL INTRM BOND - A |
| QUASX | ALL BERN S/CAP GROWTH - A | TWLBX* | AM CENT BOND INV | AIWCX | AM CENT INTL GROWTH - C | CWCBX | CAL CAP ACCUMULATION - B | CBLAX | COL BALANCED - A | LIBBX | COL INTRM BOND - B |
| QUABX | ALL BERN S/CAP GROWTH - B | CAYAX | AM CENT CA HI YLD MUNI - A | TWGAX | AM CENT INTL GROWTH ADV | CCACX | CAL CAP ACCUMULATION - C | CBLBX | COL BALANCED - B | LIBCX | COL INTRM BOND - C |
| QUACX | ALL BERN S/CAP GROWTH - C | CAYBX | AM CENT CA HI YLD MUNI - B | TWIEX | AM CENT INTL GROWTH INV | CFICX | CAL INCOME - A | CBLCX | COL BALANCED - C | SRBFX | COL INTRM BOND - Z |
| QUAYX | ALL BERN S/CAP GROWTH ADV | CAYCX | AM CENT CA HI YLD MUNI - C | ALAVX | AM CENT LARGE CO VAL - A | CBINX | CAL INCOME - B | CBALX | COL BALANCED - Z | LIGAX | COL INTRM GOVT INCOME - A |
| ASBAX* | ALL BERN SEL INV BIO - A | BCHYX | AM CENT CA HI YLD MUNI INV | ALBVX | AM CENT LARGE CO VAL - B | CIFCX | CAL INCOME - C | CLMPX | COL CA TAX EXEMPT - A | LIGBX | COL INTRM GOVT INCOME - B |
| AIBBX* | ALL BERN SEL INV BIO - B | BCINX* | AM CENT CA INSD T/F INV | ALPCX | AM CENT LARGE CO VAL - C | CLGAX | CAL L/CAP GROWTH - A | CMSAX* | COL COMMON STOCK - A | LIGCX | COL INTRM GOVT INCOME - C |
| ASBCX* | ALL BERN SEL INV BIO - C | BCITX | AM CENT CA INTMD T/F INV | ALPAX | AM CENT LARGE CO VAL ADV | CLGBX | CAL L/CAP GROWTH - B | CMSBX* | COL COMMON STOCK - B | GGIBX | COL INTRM GOVT INCOME - G |
| ASPAX* | ALL BERN SEL INV PREM - A | BCLTX | AM CENT CA L/TRM T/F INV | ALFSX | AM CENT LIFE SCIENCES - C | CLGCX | CAL L/CAP GROWTH - C | CCSCX* | COL COMMON STOCK - C | GALBX | COL INTRM GOVT INCOME - T |
| ASPBX* | ALL BERN SEL INV PREM - B | BCSTX | AM CENT CA LTD TAX FR INV | ALSIX | AM CENT LIFE SCIENCES INV | CINMX | CAL NATL MUNI INTRM - A | CMSDX* | COL COMMON STOCK - D | LITAX | COL INTRM TAX EX BOND - A |
| ASPCX* | ALL BERN SEL INV PREM - C | ACCVX | AM CENT CAPITAL VALUE ADV | TWTLX* | AM CENT LONG TRM T/F INV | CNVAX | CAL NEW VISION S/CAP - A | CMSTX* | COL COMMON STOCK - Z | LITBX | COL INTRM TAX EX BOND - B |
| AITAX* | ALL BERN SEL INV TECH - A | ACCAX | AM CENT CONSERVATIVE ADV | ABLAX* | AM CENT LTD TERM BD ADV | CNVBX | CAL NEW VISION S/CAP - B | CHINX* | COL CONTRARIAN INCOME - A | GIMAX | COL INTRM TAX EX BOND - T |
| AITBX* | ALL BERN SEL INV TECH - B | TWSCX | AM CENT CONSERVATIVE INV | ABLIX* | AM CENT LTD TERM BD INV | CNVCX | CAL NEW VISION S/CAP - C | LCTAX | COL CT INTRM MUNI BOND - A | SETMX | COL INTRM TAX EX BOND - Z |
| AITCX* | ALL BERN SEL INV TECH - C | CDBAX | AM CENT DIVERSIFIED BD - A | ACOAX | AM CENT MODERATE ADV | CSDAX | CAL SHORT DUR INCOME - A | LEVAX | COL DISCIPLINED VALUE - A | LCCAX | COL LARGE CAP CORE - A |
| AISAX* | ALL BERN SEL S/CAP GRW - A | CDBBX | AM CENT DIVERSIFIED BD - B | TWSMX | AM CENT MODERATE INV | CDICX | CAL SHORT DUR INCOME - C | LEVBX | COL DISCIPLINED VALUE - B | LCCBX | COL LARGE CAP CORE - B |
| AISBX* | ALL BERN SEL S/CAP GRW - B | CDBCX | AM CENT DIVERSIFIED BD - C | ANOAX | AM CENT NEW OPPS II - A | CSIFX | CAL SOC INV BALANCED - A | LEVCX | COL DISCIPLINED VALUE - C | LCCCX | COL LARGE CAP CORE - C |
| AISCX* | ALL BERN SEL S/CAP GRW - C | ADFAX | AM CENT DIVERSIFIED BD ADV | ANOBX | AM CENT NEW OPPS II - B | CSLBX | CAL SOC INV BALANCED - B | GALEX | COL DISCIPLINED VALUE - T | GGRBX | COL LARGE CAP CORE - G |
| ADPAX | ALL BERN SHRT DURATION - A | ADFIX | AM CENT DIVERSIFIED BD INV | ANOCX | AM CENT NEW OPPS II - C | CSGCX | CAL SOC INV BALANCED - C | LBSAX | COL DIVIDEND INCOME - A | SGIEX | COL LARGE CAP CORE - T |
| ADPBX | ALL BERN SHRT DURATION - B | ACECX | AM CENT EMERGING MKTS - C | AREEX | AM CENT REAL ESTATE ADV | CSIBX | CAL SOC INV BOND - A | LBSBX | COL DIVIDEND INCOME - B | LEGAX | COL LARGE CAP GROWTH - A |
| ADPCX | ALL BERN SHRT DURATION - C | AEMMX | AM CENT EMERGING MKTS ADV | REACX | AM CENT REAL ESTATE INV | CBDBX | CAL SOC INV BOND - B | LBSCX | COL DIVIDEND INCOME - C | LEGBX | COL LARGE CAP GROWTH - B |
| ABASX | ALL BERN S-M/CAP VALUE - A | TWMIX | AM CENT EMERGING MKTS INV | BSTTX* | AM CENT S/TERM TREAS ADV | CSBCX | CAL SOC INV BOND - C | GEQAX | COL DIVIDEND INCOME - T | LEGCX | COL LARGE CAP GROWTH - C |
| ABBSX | ALL BERN S-M/CAP VALUE - B | AEYCX | AM CENT EQUITY GROWTH - C | BSTAX* | AM CENT S/TERM TREAS INV | CMIFX | CAL SOC INV ENH EQUITY - A | CFSAX | COL FEDERAL SECURITIES - A | GBEGX | COL LARGE CAP GROWTH - G |
| ABCSX | ALL BERN S-M/CAP VALUE - C | BEQAX | AM CENT EQUITY GROWTH ADV | AASLX | AM CENT SELECT - A | CDXBX | CAL SOC INV ENH EQUITY - B | CFSOX | COL FEDERAL SECURITIES - B | GAEGX | COL LARGE CAP GROWTH - T |
| AGIAX | ALL BERN T/M BAL WLTH - A | AEYIX | AM CENT EQUITY INCOME - C | ABSLX | AM CENT SELECT - B | CMICX | CAL SOC INV ENH EQUITY - C | CFSCX | COL FEDERAL SECURITIES - C | COLFX | COL LIBERTY - A |
| AGIBX | ALL BERN T/M BAL WLTH - B | TWEAX | AM CENT EQUITY INCOME ADV | ACSLX | AM CENT SELECT - C | CSIEX | CAL SOC INV EQUITY - A | CFIAX | COL FIXED INCOME SECS - A | CCFBX | COL LIBERTY - B |
| AGICX | ALL BERN T/M BAL WLTH - C | TWEIX | AM CENT EQUITY INCOME INV | TWCAX | AM CENT SELECT ADV | CSEBX | CAL SOC INV EQUITY - B | CFIBX | COL FIXED INCOME SECS - B | CTCCX | COL LIBERTY - C |
| ATWAX | ALL BERN T/M WLTH APPR - A | ACBFX | AM CENT FL MUNI BOND INV | TWCIX | AM CENT SELECT INV | CSECX | CAL SOC INV EQUITY - C | CISCX | COL FIXED INCOME SECS - C | LMIAX | COL MA INTRM MUNI BOND - A |
| ACIAX | ALL BERN T/M WLTH PRSV - A | AGMCX | AM CENT GINNIE MAE - C | TWAVX | AM CENT SHORT TERM GOV ADV | CSXAX | CAL SOCIAL INDEX - A | CFIDX | COL FIXED INCOME SECS - D | LMIBX | COL MA INTRM MUNI BOND - B |
| ACIBX | ALL BERN T/M WLTH PRSV - B | BGNAX | AM CENT GINNIE MAE ADV | TWUSX | AM CENT SHORT TERM GOV INV | CSXBX | CAL SOCIAL INDEX - B | CFISX | COL FIXED INCOME SECS - Z | LMICX | COL MA INTRM MUNI BOND - C |
| ACICX | ALL BERN T/M WLTH PRSV - C | BGNMX | AM CENT GINNIE MAE INV | ACVCX | AM CENT SMALL CAP VAL - C | CSAAX* | CAL SOUTH AFRICA - A | LFIAX | COL FL INTRM MUNI BOND - A | SRMMX | COL MANAGED MUNICIPALS - Z |
| ABUSX | ALL BERN US GOVT BOND - A | ACGNX* | AM CENT GLBL NAT RES ADV | ASVIX | AM CENT SMALL CAP VAL INV | CTTLX | CAL T/F RESERV LNG TRM - A | CGWAX* | COL GROWTH - A | CBSAX | COL MID CAP GROWTH - A |
| ABUBX | ALL BERN US GOVT BOND - B | BGRIX* | AM CENT GLBL NAT RES INV | ASQAX | AM CENT SMALL COMPANY ADV | CTFLX | CAL T/F RESERV LTD TRM - A | CGWBX* | COL GROWTH - B | CBSBX | COL MID CAP GROWTH - B |
| ABUCX | ALL BERN US GOVT BOND - C | BGEIX | AM CENT GLOBAL GOLD INV | ASQIX | AM CENT SMALL COMPANY INV | CGVTX | CAL T/F RESERV VT MUNI - A | CGWCX* | COL GROWTH - C | CMCCX | COL MID CAP GROWTH - C |
| ABBAX | ALL BERN US L/CAP - A | AGLCX | AM CENT GLOBAL GROWTH - C | ASTAX | AM CENT STRAT ALL AGG - C | CTHAX* | CAL TECHNOLOGY - A | CLMBX* | COL GROWTH - Z | CBSDX | COL MID CAP GROWTH - D |
| ABBBX | ALL BERN US L/CAP - B | AGGRX | AM CENT GLOBAL GROWTH ADV | ASTCX | AM CENT STRAT ALL MOD - C | CTHBX* | CAL TECHNOLOGY - B | CFGAX | COL GROWTH & INCOME - A | CLSPX | COL MID CAP GROWTH - Z |
| ABBCX | ALL BERN US L/CAP - C | TWGGX | AM CENT GLOBAL GROWTH INV | ATRGX | AM CENT TARGET 2005 ADV | CTHCX* | CAL TECHNOLOGY - C | CFGBX | COL GROWTH & INCOME - B | COLGX | COL MID CAP VALUE - A |
| AUIAX | ALL BERN UTILITY INC - A | ABTAX | AM CENT GOVT BOND ADV | BTFIX | AM CENT TARGET 2005 INV | CWVGX | CAL WRLD VAL INTL EQTY - A | CFGDX | COL GROWTH & INCOME - C | COGBX | COL MID CAP VALUE - B |
| AUIBX | ALL BERN UTILITY INC - B | CPTNX | AM CENT GOVT BOND INV | ACTRX | AM CENT TARGET 2010 ADV | CWVBX | CAL WRLD VAL INTL EQTY - B | LGISX | COL GROWTH & INCOME - Z | CSVCX | COL MID CAP VALUE - C |
| AUICX | ALL BERN UTILITY INC - C | TWGCX | AM CENT GROWTH - C | BTTNX | AM CENT TARGET 2010 INV | CWVCX | CAL WRLD VAL INTL EQTY - C | CGSAX | COL GROWTH STOCK - A | LSVSX | COL MID CAP VALUE - Z |
| ABVAX | ALL BERN VALUE - A | TCRAX | AM CENT GROWTH ADV | BTFTX | AM CENT TARGET 2015 INV | LACAX | COL ACORN - A | CGSBX | COL GROWTH STOCK - B | CNLAX | COL NATL MUNI BOND - A |
| ABVBX | ALL BERN VALUE - B | TWCGX | AM CENT GROWTH INV | ACTEX | AM CENT TARGET 2020 ADV | LACBX | COL ACORN - B | CGSCX | COL GROWTH STOCK - C | CNLBX | COL NATL MUNI BOND - B |
| ABVCX | ALL BERN VALUE - C | AHGCX | AM CENT HERITAGE - C | BTTTX | AM CENT TARGET 2020 INV | LIACX | COL ACORN - C | SRFSX | COL GROWTH STOCK - Z | CNLDX | COL NATL MUNI BOND - D |
| AWAAX | ALL BERN WLTH APPR STR - A | ATHAX | AM CENT HERITAGE ADV | ACTVX | AM CENT TARGET 2025 ADV | ACRNX | COL ACORN - Z | CHGAX | COL HIGH YIELD - A | NWAPX* | COL NEWPORT ASIA PAC - A |
| AWABX | ALL BERN WLTH APPR STR - B | TWHIX | AM CENT HERITAGE INV | BTTRX | AM CENT TARGET 2025 INV | LAIAX | COL ACORN INTL - A | CHGBX | COL HIGH YIELD - B | NJOAX* | COL NEWPORT JAPAN OPPS - A |
| ABPAX | ALL BERN WLTH PRSRV - A | ACYAX | AM CENT HIGH YIELD - A | ATGCX | AM CENT TARGET 2030 - C | LIABX | COL ACORN INTL - B | CHDCX | COL HIGH YIELD - C | NJOBX* | COL NEWPORT JAPAN OPPS - B |
| ABPBX | ALL BERN WLTH PRSRV - B | ACYBX | AM CENT HIGH YIELD - B | TWTIX | AM CENT TAX FREE INV | LAICX | COL ACORN INTL - C | CHGDX | COL HIGH YIELD - D | NJOCX* | COL NEWPORT JAPAN OPPS - C |
| ABPCX | ALL BERN WLTH PRSRV - C | AHDCX | AM CENT HIGH YIELD - C | ATCIX | AM CENT TECHNOLOGY INV | ACINX | COL ACORN INTL - Z | CMHYX | COL HIGH YIELD - Z | CNTAX | COL NEWPORT TIGER - A |
| ADGCX* | ALL BERNSTEIN DISC VAL - C | ABHIX* | AM CENT HIGH YIELD INV | ABTAX* | AM CENT TREASURY ADV | LAFAX | COL ACORN INTL SELECT - A | LHIAX | COL HIGH YIELD MUNI - A | CNTBX | COL NEWPORT TIGER - B |
| ALIFX* | ALL INTERNATIONAL - A | ABHIX | AM CENT HIGH YIELD INV | CPTNX* | AM CENT TREASURY INV | LFFBX | COL ACORN INTL SELECT - B | SRHMX | COL HIGH YIELD MUNI - Z | CNTTX | COL NEWPORT TIGER - T |
| ALIBX* | ALL INTERNATIONAL - B | AYMAX | AM CENT HIGH YLD MUNI - A | TWCCX | AM CENT ULTRA - C | LFFCX | COL ACORN INTL SELECT - C | COLHX | COL HIGH YIELD OPPS - A | NGCAX | COL NEWPRT GREAT CHINA - A |
| ALICX* | ALL INTERNATIONAL - C | AYMBX | AM CENT HIGH YLD MUNI - B | TWUAX | AM CENT ULTRA ADV | ACFFX | COL ACORN INTL SELECT - Z | COHBX | COL HIGH YIELD OPPS - B | LNIAX | COL NJ INTRM MUNI BOND - A |
| AKIAX* | ALL KOREAN INVESTMENT - A | AYMCX | AM CENT HIGH YLD MUNI - C | TWCUX | AM CENT ULTRA INV | LTFAX | COL ACORN SELECT - A | CHYCX | COL HIGH YIELD OPPS - C | LNIBX | COL NJ INTRM MUNI BOND - B |
| ANAGX* | ALL N AMER GOVT INCOME - A | ACGCX | AM CENT INCOME & GRW - C | ACUTX | AM CENT UTILITIES ADV | LTFBX | COL ACORN SELECT - B | LHYZX | COL HIGH YIELD OPPS - Z | LNICX | COL NJ INTRM MUNI BOND - C |
| ANABX* | ALL N AMER GOVT INCOME - B | AMADX | AM CENT INCOME & GRW ADV | BULIX | AM CENT UTILITIES INV | LTFCX | COL ACORN SELECT - C | LIIAX | COL INCOME - A | LNYAX | COL NY INTRM MUNI BOND - A |
| ANACX* | ALL N AMER GOVT INCOME - C | BIGRX | AM CENT INCOME & GRW INV | ACAVX | AM CENT VALUE - A | ACTWX | COL ACORN SELECT - Z | CIOBX | COL INCOME - B | GANYX | COL NY INTRM MUNI BOND - T |
| ABQBX* | ALL QUALITY BOND PT - B | AIAVX | AM CENT INFL-ADJ BOND ADV | ACBVX | AM CENT VALUE - B | LAUAX | COL ACORN USA - A | SRINX | COL INCOME - Z | CNYBX | COL NY TAX EXEMPT - B |
| CHCLX* | ALLIANCE - A | ACITX | AM CENT INFL-ADJ BOND INV | ACLCX | AM CENT VALUE - C | LAUBX | COL ACORN USA - B | LIEAX* | COL INTL EQUITY - A | COEAX | COL OR MUNI BOND - A |
| ACVAX | AM CENT AGGRESSIVE ADV | TWTAX* | AM CENT INTER TRM BD ADV | TWADX | AM CENT VALUE ADV | LAUCX | COL ACORN USA - C | LIEBX* | COL INTL EQUITY - B | COEBX | COL OR MUNI BOND - B |
| ACVAX | AM CENT AGGRESSIVE ADV | TWITX* | AM CENT INTER TRM BD INV | TWVLX | AM CENT VALUE INV | AUSAX | COL ACORN USA - Z | GAIEX* | COL INTL EQUITY - T | COEDX | COL OR MUNI BOND - D |
| TWSAX | AM CENT AGGRESSIVE INV | AIBDX | AM CENT INTL BOND ADV | TWVCX | AM CENT VISTA - C | LAAAX | COL ASSET ALLOCATION - A | CISAX | COL INTL STOCK - A | CMBFX | COL OR MUNI BOND - Z |
| BEAMX | AM CENT AZ MUNI BOND INV | BEGBX | AM CENT INTL BOND INV | TWVAX | AM CENT VISTA ADV | LAABX | COL ASSET ALLOCATION - B | CISBX | COL INTL STOCK - B | LPIAX | COL PA INTRM MUNI BOND - A |
| TWBAX | AM CENT BALANCED ADV | TWEGX | AM CENT INTL DISCOVERY INV | TWCVX | AM CENT VISTA INV | LAACX | COL ASSET ALLOCATION - C | CISDX | COL INTL STOCK - D | LQPAX | COL QUALITY PLUS BOND - A |